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ABSTRACT

The 129th meeting of the Association of Research Libraries (ARL) focused on anticipating the future of higher education in North America and identifying responses from research libraries that will contribute to emerging agendas for change. An opening session (convened by Nancy Cline, ARL Presiding President) began the meeting. The first session, "Understanding the Changing Landscape of Higher Education," included the following papers: "The Medieval Future of Intellectual Culture: Scholars and Librarians in the Age of the Electron (Stanley Chodorow, introduced by Paul Mosher) and "Changing Roles in Scholarly Communication" (Sally Brown, introduced by Carole Moore). The second session, "Identifying Strategic Choices and Trade-offs," included an introduction by Paul Kobulnicky and the following papers: "The Future of Public Universities" (Peter Magrath); "Lessons from the Pew Campus Roundtables" (Gregory R. Wegner); and "The Partnership Between Scholars and Librarians" (Phyllis Franklin). The luncheon session, "Exploring Issues of the Network Service Provider," was introduced by Fred Heath and included the following papers: "The Internet and Federal Information Policies: A Steep Learning Curve" (Jill Lesser); "Development of Enterprise-Wide Information Policies" (Frances Groen); and "Exploring Issues of the Network Service Provider" (Fred Heath). The third session, "Comparing Notes Across the Institution: Comments and Discussion with Chief Academic Officers" was introduced by Douglas Bennett and included these papers: "Four Actions Required for the Public to Reinvest in Research Universities" (Martha Gilliland, introduced by Carla Stoffle); "Legos and New Models: Transforming, Refocusing, and Reallocating" (Mark Emmert, introduced by Paul Kobulnicky); "Technology and the Future of Instruction and Libraries" (William F. Prokasy, introduced by William G. Potter); and "Restructuring the Educational Process" (Ettore F. Infante, introduced by Thomas W. Shaughnessy). Appendices include reports on the ARL business meeting; the Early Bird Session (Kevin Guthrie,

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introduced by Elaine Sloan); key elements of the AAU/ARL Global Resources Program; ARL strategic plan on government information in electronic format; a proposal for discussion at the ARL business meeting; ARL activities from May-September 1996; and an ARL attendance list. (AEF)

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Redefining Higher Education

Association of Research Libraries
Proceedings of the 129th Meeting

Washington, D.C.
October 16-18, 1996

Nancy Cline, Presiding

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FOREWORD

REDEFINING HIGHER EDUCATION

Supporting and contributing to the transformation of higher education and research institutions is a theme that permeates all ARL programs and activities. Prompted by a recommendation from the ARL Committee on Management of Research Library Resources, this program focused on anticipating the future landscape of higher education in North America and identifying responses from research libraries that will contribute to emerging agendas for change.

Setting the stage in Program Session I was Stanley Chodorow, Provost, University of Pennsylvania, who addressed the implications of the digital environment on teaching and research, and the actions that need to be taken by provosts and librarians to effect a positive outcome. Showcasing a new action agenda arising from Canadian academic institutions was Sally Brown, Senior Vice President, Association of Universities and Colleges of Canada. Ms. Brown briefed participants on the results and recommendations of a recently concluded AUCC study on Changing Roles in Scholarly Communication.

Program Session II brought together speakers to address ways that our communities are informing decision makers, each other, and other stakeholders about the strategic choices faced by North American educational and research institutions.

Peter Magrath, President of the National Association of State Universities and Land Grant Colleges, opened the panel with remarks on the future of public universities and the goals and agenda for the recently initiated Kellogg Commission.

Gregory Wegner, Associate Director of the University of Pennsylvania Institute for Research in Higher Education, reviewed the experience of the Pew Campus Roundtables.

Phyllis Franklin, Executive Director of the Modern Language Association, highlighted the nature of faculty concerns about the future of research libraries and scholarly communication, and proposed steps to strengthen the understanding of scholars and librarians about the nature of the tradeoffs facing library leadership.

To ensure that ARL discussions about transforming the research library are in sync with academic programs of research institutions, a panel of chief academic officers commented on how academic programs are responding to current challenges. The panel consisted of Martha Gilliland, Vice President for Academic Affairs, the University of Arizona; Mark Emmert, Chancellor, the University of Connecticut; William F. Prokasy, Vice President for Academic Affairs, the University of Georgia; and Ettore F. Infante, Vice President for Academic Affairs, Brown University. Douglas Bennett, Vice President, American Council of Learned Societies, convened the panel and concluded the program.

Luncheon Program on Network Service Providers

On Thursday, meeting participants attended a Federal Relations luncheon program. The topics identified for this fall's update were the issues that are faced by libraries and research institutions as they assume the role of network service providers. Fred Heath, Dean and Director of University Libraries, Texas A&M University, and Frances Groen, Director of Libraries, McGill University, spoke on the development of enterprise-wide information policies and recent incidents that may prompt administrators to reconsider how best to approach these contentious issues. Jill Lesser of America Online described the challenges of shaping federal information policies in a networked environment.

Early Bird Briefing on JSTOR

On Friday morning, Kevin Guthrie, Executive Director of JSTOR, briefed meeting participants on the status of this growing database of scholarly literature and described plans for next steps.

OPENING SESSION

Convened by Nancy Cline, Presiding President
ARL

MS. CLINE (Harvard University): Good morning. It is my pleasure to welcome you here to Washington and to the opening session of the 129th Membership Meeting of the Association of Research Libraries. First of all, those of you who were in town for last evening's reception, I hope you, like I did, enjoyed our wonderful reception at the Smithsonian, and I would like to thank Barbara Smith for making that possible for us.

I would now like to extend a welcome to Ohio University, the newest member of ARL. It gives me great pleasure to call this event to your attention here today and to tell you that Ohio University, the ARL's 120th member institution, is represented by Dr. Hwa-Wei Lee. We are very pleased to have him here, and we are quite certain that he will be a very active part of ARL's programs. Welcome, Dr. Lee.

I also have the pleasure of welcoming what I think is a record number of colleagues, colleagues who come from distinguished careers and who are newly taking up ARL headships as library directors, deans, or directors responsible for ARL leadership. The names of those who have joined us since our last meeting are an impressive list. Given the number of new faces, we will unfortunately not be able to have our traditional rather lengthy introductions given by colleagues, so what I ask is that each of you stand as I recognize you.

First of all is Joseph Branin. Joe had been formerly at the University of Minnesota, and now he has taken up his responsibilities at SUNY-Stony Brook. Welcome, Joe.

Next is Ronald Dow. Ron was formerly at Penn State University and is now heading the University of Rochester Libraries.

David Ferriero, who was formerly at M.I.T., is now heading Duke University Libraries.

Paul Gherman, who is now heading Vanderbilt University Libraries, comes back to us from Kenyon College. Welcome back, Paul.

Frances Groen, McGill University. Frances had been there as their medical librarian and Associate Director, and now takes up the head responsibilities there as Director of Libraries.

Charles Lowry, who was at the Carnegie Mellon University in Pittsburgh, has taken up responsibilities at the University of Maryland.

Mod Mekkawi, who had been Acting Director at Howard University, has now been confirmed and will be heading Howard University Libraries.

Sarah Thomas, not a stranger to many of our ARL initiatives, comes to us from a career at the Library of Congress and NAL, and is now heading the Cornell University Libraries.

Suzanne Thorin, who also comes with Library of Congress experience, is heading Indiana University Libraries.

And our final introduction is to Karin Trainer, who has left Yale University, where she had been for a significant time, to head Princeton University Library.

To all of you we extend our heartiest welcome.

And, although I can't claim to be new, Paul reminded me that I am a different person. I have left Penn State and I am now at Harvard, with responsibilities for the college libraries there.

With us here this morning, I am pleased to say, is Dr. Cornelius Pings, from the Association of American Universities (AAU). We are delighted that he is able to be with us for our program this morning, and I would like to say how much we value the special working relationship that has evolved between ARL and AAU. We believe it is significant in positioning libraries to be an important partner in the changes taking place in higher education.

On a sad note, but an important one, this morning our colleague John Laucus, from BU, was involved in an accident and has been hospitalized. We have a card out at the registration table for signing. We are hoping that he'll soon be able to enjoy receiving cards from his colleagues, and we would like to give him a "wishing you back to the best of health" from ARL.

To shift now to our meeting ahead of us. We have scheduled an exciting array of presenters, individuals who will be sharing with us their perspectives on the changes that are taking place today in higher education. We hope to also draw from them some advice on how we might most effectively manage those changes so that we can maximize their potential for our respective constituencies.

I think everyone in this room is aware, even those of you who are not directly engaged in higher education, that there really is a new dawning, a new set of changes affecting all of higher education. The information revolution, and all of the technologies it brings with it, promise to drastically alter the course of higher education, and, as a result, to alter the way research libraries carry out their missions.

The research library community needs to anticipate those changes and identify responses that will contribute to the future success of higher education, of scholarly communication, and of the many research endeavors taking place. It is imperative that we all become active partners in steering the decisions that will determine the fundamental characteristics of these changes, and so I am especially pleased that we will be joined today by several chief academic officers from member institutions. Successful partnerships for collective strength between research libraries and academic programs are essential if we are to successfully influence this emerging higher education environment. ARL, as you probably know, has been encouraging these partnerships in order to expand our ability to influence and shape this evolution; to advance the development of information policies as well as of legislation that is supportive of both education and research; and also to encourage discussion among key groups who are involved in advancing these agendas.

The sessions that have been planned for this, our 129th meeting, are intended to stimulate discussion of the issues that affect higher education and research libraries and to aid us in forming a strategic agenda to face the future.

Program Session I, entitled *Understanding the Changing Landscape of Higher Education*, will focus on the implications of the digital environment for teaching and scholarship and the actions that need to be undertaken in collaboration by academic officers and librarians to make those changes most effective and most beneficial. We also hope to examine in this session the results of a recently concluded study on the changing roles in scholarly communication.

For Program Session II, *Identifying Strategic Choices and Tradeoffs*, we brought together speakers who will address ways that the various higher education communities are informing decision makers, each other, and other stakeholders about the choices that must be made by North American educational and research institutions. In this session, the panel will address the future of public universities and the goals and agenda for both the Kellogg Commission and the Pew Campus Roundtables.

Following that is our Federal Relations Luncheon Program, *Exploring Issues of the Network Service Provider*, focusing on issues surrounding network service provision in higher education and the development of campus-wide information policies.

Program Session III, *Comparing Notes Across the Institution*, will bring together librarians and academic officers from several ARL institutions to discuss how to keep the transformation in research libraries in sync with the changes that are taking place in academic program development. And when I use the word "changes," I do so with the understanding that these changes are taking place at a rate faster than we ever envisioned they would take place.

So, we have ahead of us a rather full program today, followed by our reception at ARL headquarters this evening. As a reminder, tomorrow morning we have offered you an early morning session on the JSTOR project, followed by our business meeting.

Finally, I would like to thank the two ARL colleagues who have been responsible for pulling this session together and who are going to handle the introductions. Paul Mosher, from the University of Pennsylvania, and Carol Moore, from the University of Toronto.

THE MEDIEVAL FUTURE OF INTELLECTUAL CULTURE: SCHOLARS AND LIBRARIANS IN THE AGE OF THE ELECTRON

Stanley Chodorow, Provost
University of Pennsylvania

INTRODUCTION BY

Paul H. Mosher, Vice Provost and Director of Libraries
University of Pennsylvania

MR. MOSHER: During the last few years, we have all been involved in the redesigning or reinvention of the research library in the digital world within universities that are themselves changing rapidly. All of us have felt gratified and excited by the challenges, successes, and opportunities that the world is presenting us.

Whenever these kinds of changes happen as quickly as they do, it is important to step back and consider what is happening to the parent culture of which we are a part. I think no one in higher education has been more deeply involved in the consideration of what universities are, who they serve, and what they do, as well as the role of libraries within that changing environment, than Stanley Chodorow, the provost of the University of Pennsylvania.

From 1983 to 1994, he served as Associate Vice Chancellor for Academic Planning and Dean of Arts and Humanities at the University of California at San Diego, one of the most rapidly growing and changing major universities in the United States.

He started his career there as an Assistant Professor of History in 1968, in the area of Medieval Canon Law. He received his B.A. in Government and a Ph.D. in History from Cornell University.

Dr. Chodorow specializes in medieval, political, and legal thought and is an expert in medieval law. He has received numerous awards during his career, including the Elliott Prize from the Medieval Academy of America and the Best Book Award from the American Historical Association.

Today, he will examine the implications of the digital environment for teaching, research, and learning.

DR. CHODOROW: The electronic revolution is taking us back to the middle ages. As librarians and as scholars, we are on a tape running fast-forward to the past. When the tape reaches its end, our professional lives will be changed. You will be the managers of an information environment very different from the one you deal with now. As a teacher and scholar, my relationship with students, colleagues, and information will be transformed.

The changes I am talking about are not the obvious ones we can all see clearly today. Right now, at the beginning of the electronic revolution, we are preoccupied with the exponential growth of information resources on the World Wide Web. Scholars and information purveyors are producing this growth. Scholars, students, and librarians are trying to cope with it. In case you librarians have not yet noticed, let me say that the scholars and students are depending on you to figure out how to catalogue and organize all the information out there on the Internet. We are counting on you to produce a new Melvil Dewey.

Hard as that task will be, it will not be the hardest problem that the revolution will create for us. The real problems of the new medium for research and publication will arise from the way it will change scholarly discourse, and it is in that change that we will retrace our steps to the intellectual culture of the middle ages. Today, I want to focus on that change and its effects.

In medieval intellectual culture, works of literature—history, theology, law, medicine, and literature in the strict sense—flowed from author to author, across generations, growing and changing as individual contributors worked on them.

Medieval chroniclers used the work of their predecessors, adding and filling in material to make the work their own. In the modern editions of these works, scholars have marked the layers of the text by printing them in different sizes; the critical editions of works that grew over many generations—such as some of the monastic chronicles of the Alsace Lorraine—are the mothers of all eye charts.

The standard—or, as they are called, vulgate—glosses on the Bible and on the foundational texts of law, medicine, theology, and philosophy were also composite works, the melding of the works of several generations of teachers and scholars.

Papal and imperial privileges were reissued with each new reign, growing or changing in response to contemporary political interests while preserving the essence of the original privilege. All of these kinds of medieval works and documents grew organically from generation to generation. What was significant about them was not who wrote them but what they contained.

In the not-so-distant future, our own intellectual culture will begin to look something like the medieval one. Our scholarly and information environment will have territories dominated by content, rather than by distinct individual contributions. The current geography of information was the product of the seventeenth-century doctrine of copyright. We are all worrying about how the electronic medium is undermining that doctrine. In the long run, the problem of authorship in the new medium will be at least as important as the problem of ownership of information.

Works of scholarship produced in and through the electronic medium will have the same fluidity—the same seamless growth and alteration and the same de-emphasis of authorship—as medieval works had. The harbingers of this form of scholarship are the listservs and bulletin boards of the current electronic environment. In these forums, scholarly exchange is becoming instantaneous and acquiring a vigor that even the great scholarly battlers of old—the legendary footnote fulminators—would admire. Scholars don't just work side by side in the vineyard; they work together on common projects.

What these harbingers reveal is the first effects of a fundamental change in the means of communication. The modern forms of scholarship—the works we have been collecting, cataloging, and organizing for several centuries—are products of a particular means of communication. The codex dates from late antiquity. It was a technological advance on the scroll and the highest development of the possibilities of manuscription. The scientific article and the journal in which it appeared were invented in the seventeenth century. This form of publication realized the possibilities of the printing press. (The article as a mode of scientific communication was the invention of Edmund Halley, the astronomer who financed the publication of Newton's *Principia* and who used Newton's theory to predict the return of a comet that now bears his name.) We have not yet developed the best form for work published on the Internet, but we—and especially you, the librarians—need to begin to speculate about its characteristics in order to cope with its arrival on the scene and with the stages of its evolution.

A work of scholarship mounted on the Internet will belong to the field it serves and will be improved by many of its users. Scholar-users will add to the work, annotate it, correct it, and share it with those with whom they are working. All the really important works of scholarship, the works we commonly call research tools, will quickly evolve into several subspecies in the hands of scholars.

We historians of medieval canon law distinguish between the French and Bolognese versions of the *Breviarium of Bernard of Pavia*, which evolved from the textbook of papal judicial opinions that Bernard produced about 1191-92. Will we soon be able to speak of the French, German, and American versions of an electronically transmitted calendar of papal letters? Or will the versions emerge within international circles representing different kinds of users of the letters—the political historians, social historians, and legal historians? The only certainty is that such works will evolve continuously once we begin to take advantage of our new medium for information.

I have been talking of the flow of information and the fluidity of works of scholarship on purpose. The future world of scholarship I am envisioning is one in which the information used by teams of scholars will be in liquid form. The electronic format encourages constant change—addition, subtraction, alteration—and its organization is fundamentally different from the one used in printed materials.

Right now, much of the material on the Internet is made up of digitized pictures of printed works, which can be cited by chapter, page, and paragraph. When scholars create information resources directly on the Internet, they use a variety of new organizational methods and expect the materials to grow and change constantly, perhaps even to be given a completely new organizational form in mid-stream, if someone develops a better way to present the data. We can expect many scholars to resist such fluidity in their information resources, because it will relegate the traditional footnote—to which some of us are inordinately attached—to the dustbin. Some future edition of *The Chicago Manual of Style* will provide models of citation to suit the new medium.

This imagined world is one in which the electronic medium has radically changed the nature of "publication." In the fluid world of the electron, the body of scholarship in a field may become a continuous stream, the later work modifying the older and all of it available to the reader in a single database or a series of linked databases. The prospect is exciting, but it contains some scary features.

One of these features is that a truly collaborative work, particularly a work in progress, blurs the concept of authorship and makes it difficult to judge the significance of individual contributions. Now, we manage information mostly by author. We will have to find another way.

Another scary feature of the new environment is that the electronic medium is evolving as fast as the scholarly discourse being carried out in it. What happens, then, when the discourse takes a break? All fields go through periods of stagnation. If the medium of scholarship continues to change, then the preservation of electronic resources must involve migration from one "platform" to another. So long as the discourse is lively, or at least animate, scholars and librarians who serve them will port it from system to system. Who will use up space and effort keeping a database alive during periods of intellectual downtime?

For a long time now, librarians have been moving cautiously towards greater and greater cooperation. The progress has been slow, because the large institutional investments in libraries have made us proprietary. The electronic medium requires that we speed up the move towards collaborative action. For, we need to decide now how we will preserve electronic information resources. Every month, great resources are being lost in the trash heap of old technology.

The recent progress of collaboration among libraries, such as it is, rests on the stability of the print medium. Whichever institution buys, catalogs, and shelves printed material, all other institutions in the collaborative loop will be able to use that material. But the electronic medium is unstable, and our institutions are leapfrogging one another as they upgrade their systems in response both to the needs of their patrons and to the possibilities of the ever-developing technology. Until and unless our technology marches together in rank and file, the assumptions that have worked well during the age of print will fail us. The electronic revolution destroys the illusion that independent collection development and management can produce adequate information resources for the scholarly community, indeed for the community at large.

I am confident that we scholars will work out a way to mark our contributions to the collaborative scholarly effort that we create in the electronic medium, so that you librarians will be able to give us the credit we deserve.

The challenge before you today is to create a map—a catalog—of the electronic medium of information. Together, you must develop new organizational principles and techniques that work in this medium—that guide us to the precise source of information, identify the author of the information, and place the information in a chronological order. This is the information about information that scholarship requires.

In creating this new organization of knowledge, you will also have to design a new model of the information specialist. So long as there are printed resources—which will continue to pour out of presses for almost as long as you think they will—the skills and knowledge you have accumulated and passed on in your profession will have high value. But the growing importance of information resources in electronic form will certainly change the skills and knowledge needed by librarians. In my opinion, the librarians who will help us deal with the electronic medium will have to be members of the disciplines they serve.

In his novel *The Name of the Rose*, Umberto Eco imagined the ideal of the medieval librarian—the information scholar who held the key to knowing. The librarian of the electronic age, like the librarian of the ancient and medieval worlds, will have to be a scholar among scholars. He or she will be the information specialist in every research group, the person who helps the group keep up with and understand the state of knowledge and its history.

This role will require training in a discipline as well as in information science, and it will make the role of librarians international. Today, a librarian is hired to serve the needs of a particular library and the community of scholars dependent on it. Even today, however, a librarian may serve as a resource for scholars far and wide who send queries by e-mail. When the electronic age matures, the librarian will serve an international community of scholars in his or her field. The locations of librarian and colleagues, formerly called patrons or clients, will be designated by electronic addresses, not mail codes.

So, how will we, the people responsible for managing local resources and local institutions, decide whom to hire? We might decide that all librarians have to be able to do local tasks as well as international, scholarly ones. Then, we will hire the complement of people we need to run our libraries and assume that the special disciplinary interests of our librarians will take care of themselves. But scholars will not be content with the accidental nature and impermanence of that arrangement. They will not care where their librarian lives and works, but they will want to know that they can count on him or her.

Now is the time for the library community, which has hovered between isolationism and international cooperation for decades, to make a decisive commitment to cooperation. There is a great deal to be done if the return of the medieval intellectual culture, with its fluid and international character, is to be as productive and important for human civilization as it was the first time it came around.

CHANGING ROLES IN SCHOLARLY COMMUNICATION

Sally Brown, Senior Vice President
Association of Universities and Colleges of Canada

INTRODUCTION BY

Carole Moore, Chief Librarian
University of Toronto

MS. MOORE: It is my very great pleasure to introduce Sally Brown, Senior Vice-President of the Association of Universities and Colleges of Canada (AUCC). She joined the AUCC in 1991 as Vice-President for External Relations, and, in 1995, she served as Acting President.

Prior to that, she was Special Advisor in the Prime Minister's office, providing strategic policy and communications advice on a broad range of social and economic policy issues, including education, science, and technology, and the environment. She has also served as Vice-President of the Toronto Hospital, and holds several degrees from the University of Toronto, including a Master's in Health Sciences.

Among her responsibilities at AUCC is copyright. In that role she has been a most energetic and effective leader in negotiations with the nonprofit Canadian copyright organization, CANCOPY. Sally has worked closely with the Canadian Association of Research Libraries (CARL) members both in that capacity and in the recent AUCC Task Force on Academic Libraries and Scholarly Communication. You will recognize the ARL members who served on the task force — Carolynne Presser, Claude Bonnelly, and I — along with two university presidents; two academic vice-presidents, two representatives of the Canadian Association of Research Libraries (CASUL), and two faculty members who served as external reviewers, among others.

We are delighted that Sally has agreed to share her perspectives on Changing Roles in Scholarly Communication. Please help me in welcoming Ms. Brown to ARL.

MS. BROWN: Thank you.

It is important that the executive heads of the AUCC member institutions took on issues confronting academic libraries, having been approached by the Canadian Association of Research Libraries (CARL) to do so. Although any member of our Task Force on Academic Libraries and Scholarly Communication could have easily given this talk, perhaps it is significant, though, that it comes from someone from the AUCC. We hope now, through AUCC, CARL, and other bodies, that some of the Task Force's recommendations will be given life, instead of just sitting on a shelf. I will speak about the Task Force, but also about many of Mr. Chodorow's comments, because they are relevant here.

The Task Force was formed two years ago. We thought it would be a yearlong process, but it has taken considerably more energy and time than we had originally envisioned. Just to review, the AUCC is a mini-ACE. We represent all of the degree-granting universities in Canada, excluding two-year community colleges.

When we first were approached by CARL to create a task force which would look at academic libraries, we thought we would spend a lot of time reviewing the work of AAU and ARL in the United States, and the Follett Commission work in the U.K. We did that, but then changed our focus and moved fairly quickly toward looking at the issues as they relate in a Canadian context.

This came about because, although we knew that we constantly had to be aware that we are impacted by what is going on internationally, we paid close attention to the Canadian issues, as well. We looked at Canada's relationship with the United States, in particular, since Canada is a net importer of academic material. We wanted to come up with solutions that we could put in place in Canada and did not want to use the international nature of the problem as an excuse to wait and see what happened elsewhere. So we have changed form and format a few times, trying to figure out how to best deal with this problem and how to address the issues.

The Task Force was cyclical, so that when we were halfway through we all began to wonder if there was really anything we could do. The problems seemed tremendous. The copyright issues, for example, are enormous because Canada is a net importer. So we began to ask ourselves, What can we do in terms of electronic journals if, internationally, there is not a movement toward them? This question led us to focus on what the Task Force could do in Canada.

We began to notice an increasing member engagement and interest in the questions we were raising, which energized us into making a decision to produce a discussion paper that would lay out the issues as we saw them, and see what response we got. We called our paper "Challenges and Choices for Canada," and it focused on the things that we could do in Canada.

The other metamorphosis we made was as follows. We had originally defined the scholarly communication problem as a library problem, but by the end it was clear that this it was an even broader, academic problem. Most of the recommendations we received in reply to our paper were aimed at entities other than libraries, primarily targeting the academic scholars in our member institutions.

We also quickly stopped believing that more money was a solution and, after quite a few debates around technology, came to see the issues in a much more multi-dimensional way than we had initially perceived them. We first thought of technology as the driver of the problem and also the potential solution, but it is, of course, far more complex than that.

Over these two years things were also rapidly changing in Canada, so we were not reacting to a static environment. For example, one major consideration we needed to take into account is the fact that we are undergoing a copyright law reform bill in Canada. We were working with the Information Highway Advisory Council, which was set up by the federal government in this area, and which made a lot of valuable recommendations vis-a-vis copyright in the digital environment.

Another event that was happening at this time was that many of our major institutions, including the University of British Columbia, went through a Senate process looking at the role of librarians in academic committees, and as a result created an extremely useful document for the Task Force.

There are 28 recommendations in our report, and I will review a few of them. The report is available on the AUCC Web site at either <http://www.aucc.ca/english/sites/auccarl/htm> (English version), or <http://www.aucc.ca/francais/sites/auccarl/htm> (French version).

Problems

I would like to start off by reviewing the problems we are facing. The following problems were those that we listed in our discussion paper:

- soaring publication costs influenced by the increasing number and diversity of serials, monographs, and of users, as well as the fact that, particularly in Canada, users are geographically dispersed;

- the funding constraints on universities that are now being felt increasingly by libraries; and

- the surrender of copyright by scholars and their institutions, and the related flow and expense of a print-based publishing system.

After the discussion paper had been distributed, we received much comment about whether we were defining the problem correctly; we ended up adding two problems later. The first problem that we added was that of providing inequitable access to supporting technology in institutions. At the moment, certain disciplines have access to the technology that other disciplines do not have, and, if we are talking about the democratization of knowledge, then access to technology can become a barrier.

The second problem was what we defined as the loosely-coupled nature of the scholarly communication system. What we meant by that is that effecting change somewhere in the system might result in a change somewhere else. Unfortunately, one can never be quite sure what that other change will be.

Players

We started out our talks by defining the players. We have already discussed this morning the changing role of the librarian as the information specialist, and that was one of the points about which we had many discussions.

We talked about the chief players in academic publishing in Canada. As I mentioned, Canada is a net importer of material, and so this is a real issue for us. Naturally, we initially focused on the role of the commercial publishing houses and the soaring costs of periodicals to companies like Elsevier. However, there was also discussion regarding university presses and where they are heading in Canada. They are in some degree of difficulty as they are losing their university funding and being forced to act more like commercial publishing houses. The task force also looked at the role of the Federal Granting Councils and the incentives they provide. In Canada, the Councils used to provide a lot of money for scholarly publishing, but now that money is drying up. An impact will be felt, especially within the social sciences and humanities.

Some of our talks centered on the role of learned societies and how they can and do provide incentives, both positive and negative, in the scholarly communication process. Finally, we looked at the role of the faculty reward system (hiring, tenure, and promotion) and its effect on both the scholarly communication process and on copyright.

Copyright

The concept of fair dealing in Canada provides the exception for copyright infringement, for copying works for private study, and for research purposes. However, it is not as broadly defined as the Fair Use provision in the United States. Canada does, though, have a much better-designed system of copyright collectives, and we have a copyright collective now in Canada for reprographic reproduction of all works. During the course of the past two years, CANCOPY, as it is known, has begun to radically escalate its prices for scholarly material.

Now we are not only paying more for the original material, but also more for the right to photocopy the material for academic and research purposes. There is currently a great deal of debate in Canada's creator community about whether there should even be a fair dealing exception. This coming together of the copyright issues and their impact on prices has forced us to look at the copyright model we use in our universities, and we are not optimistic.

We believe, though, that we can change the practice scholars have of giving up their copyright, and therefore their works, to academic publishers in order to be published. The task force came out of its

examination of the situation saying that we must start contemplating how to change this, because we are now caught in a model that is moving us in the wrong direction.

A New Model

The three words we use to describe the new model are digital, dynamic, and democratic.

Originally we defined the model as a complete paradigm shift. However, we soon came to realize that it is not really a paradigm shift, but an evolutionary process where things are slowly becoming digitized, and where there is greater openness and sharing of knowledge and data. It is the democratization of the scholarly process.

Mr. Chodorow said that this process of digitization will allow undergraduates to have more and more access to the scholarly community and will therefore be able to become bigger players within the scholarly communication process. Furthermore, Mr. Chodorow mentioned that a more rapid exchange of knowledge is also changing the nature of scholarly discourse. I agree completely.

The two external reviewers we put on the task force were instrumental in articulating how their work has changed dramatically using new electronic resources. They use the Internet now to exchange data, and these informal data exchanges frequently lead to changes in their research. Thus, their research often goes in another direction before anything is ever published. This leads to questions regarding not only the reorientation of research, but also the results of such exchanges. Even if the exchanges are not published, they still constitute a growth in the body of knowledge. How is this captured for other scholars?

In order to learn more how the digitization of knowledge is affecting scholarship, the task force conducted an informal survey through *University Affairs*, which is a smaller version of *The Chronicle of Higher Education* that is published by AUCC and sent to every faculty member. We asked how faculty members are changing what they do.

- Ninety-five percent said they use the Internet once a day;
- Forty percent said that they visit the campus library less frequently than they used to;
- Forty percent use journals less often;
- Forty percent made less use of inter-library loan; and
- Forty-three percent said they did more collaborative research.

This was helpful for us by putting parameters around the ways in which access to scholarly communication is changing for our users.

Another topic that we took into consideration when forming our model was the future of electronic journals. One reason for concern is that we had, but have no longer, federal funding put towards developing electronic journals in Canada, under the mistaken perception that they would be cheaper than paper publications. This led, of course, to discussions about the pros and cons of digitizing existing material, and the challenges of archiving in the new environment.

We also had many discussions about the influence of library statistics on the scholarly communication system. While our task force was in place, CARL had formed its own task force on library statistics, so hopefully our task force discussions helped CARL and their work. CARL's work focused on the need to look at new ways of calculating how people access information, replacing what is called the "tonnage model." Without these new statistics we will always have pressure to build up library holdings in order to look good in various rankings. For example, the Claims ranking in Canada rates universities according to how many books the library has. It was recognized that these rankings skew the system in ways that we think are no longer appropriate.

Finally, a lot of discussion regarded quality and concerns that a move to a digital environment will raise issues around the quality of materials. Paul Davenport, one of the two presidents on the task force, kept bringing us back to the issue of quality in electronic journals. We found that, while peer review is problematic, it is currently the best way to ensure quality. We have to make sure that there will be as much rigor applied in electronic publishing as there is in other forms of publishing; this is a challenge with which we will all have to deal.

Recommendations

As I said before, we came up with 28 recommendations in total, which we then divided into eight categories, setting some aside for local action and some for national action. I will go through a few of them for you.

We had recommendations on raising awareness, implementing Best Practices and developing analytical tools.

- We have really urged groups such as AUCC, the Learned Society, and the Granting Councils to hold meetings on the subject of scholarly communication to start debating these issues.

- We have urged all of our member institutions to set up a Senate or other committee in order to look at the issues that are being addressed in the report.

- Library groups are being asked to communicate their Best Practice success stories and to publicly recognize the success of libraries in moving toward new models of information access and exchange.

- I mentioned the debates on statistics and performance measures and the CARL task force that is currently working in these areas. In conjunction with those, we are urging the federal government to consider an international symposium on scholarly communication in 1998.

There were a lot of recommendations concerning new technologies. There is a lot of concern about how people are accessing material; how to teach people to access productively; and then there is also the issue of equitable access, asking universities to ensure that no one discipline is disadvantaged as a result of the move towards technology.

The Canadian scholarly community is asked to explore the creation of a university-controlled site for the dissemination of Canadian scholarly information in electronic form. The former Executive Director of CARL is currently on a sabbatical working on this with Industry Canada, the federal department responsible for looking at the electronic journals program. We are hopeful that something will come out of it.

We have made many recommendations in our report on copyright. The only one that is applicable here is that AUCC and the Canadian Association of University Teachers, which is representative of all the faculty associations, will be meeting and opening discussions on the current copyright model.

Finally, the recommendations about renewing the academic reward system were the most difficult issues to address. How can universities, learned societies, and the Federal Research Granting Councils change their practices to ensure that they focus on the quality of publications and not the quantity of publications? And how can we get them to review their policies with respect to electronic journals and to consider these journals, if they are peer reviewed and adequate compensations are put in for quality, to treat them as equal to paper journals in the granting of applications, hiring, promotion, and tenure decisions?

This represents the range of recommendations that we have made. As I mentioned, we are hoping the report does not sit on the shelf. You will all be getting a copy, and we will be distributing it to all of the Canadian faculty members in the country.

QUESTION AND ANSWER SESSION

PRESIDENT CLINE: We have some time for questions. Are there some questions that anyone would like to direct to Ms. Brown or Dr. Chodorow?

MR. SHIPMAN (University of Oregon): This question is for Ms. Brown. Several times you mentioned that Canadian institutions have a great deal of imported scholarly material. What issues for scholarship stem from this?

MS. BROWN: One of the key issues is price, because so much of the material is offshore material and also because the Canadian dollar is so devalued. It is very expensive for us. The second issue is the transformation to and the move towards electronic media, to a point where Canada may decide that all of its journals should become electronic. Because our own journals comprise such a small proportion of the material that we use, the impact of that on us and on our libraries would be minimal.

MS. MOORE: I will add that the statistics indicate that Canada has about three percent of the scientists in the world, and produce about four percent of scientific literature, which, by some standards, is very productive. On the other hand, it does not control very much. It doesn't seem like we can have very much effect, but I think we are coming to the conclusion that we can do things.

MR. BILLINGS (University of Texas): I have been looking at some of our discussions about the digital model. We are talking about a situation that is becoming less and less location-dependent, and a situation in which we have more and more of a continuum of learning. If we look at the spectrum of K-12, college, and life-long learning, perhaps one of the questions we ought to be asking is if we will be looking at a completely different model for the delivery of education. Are we looking at the dissolution of boundaries between universities and high schools, K-12?

DR. CHODOROW: I have given those kind of questions an enormous amount of thought, and they scare me to death.

The form of the university, which is now eight centuries old, is dependent in very large measure on the means of communication. Those means have not changed since the early Middle Ages, but the change that is taking place now will challenge that form. This change will be incomplete for 50 to 100 years, but it threatens a form of communication that I love deeply.

This is a revolution that endangers our fundamental forms of communication. There are so many things in it that are problematic — the whole structure of our curriculum; the distinctions that we make between elementary, intermediate, and advanced learning; and the distinctions between undergraduate, graduate, and faculty, in terms of participation in the conversation that leads to the making of new knowledge.

This past week, I saw a Latin version of a Medieval Jewish text and commentary. A church censor had gotten to it and had scratched out passages in which the Hebrew author had said that Jesus was not the Messiah. This is a classical piece of censorship. We have other copies of that particular publication, so we can fill in those blanks where ink was used to scratch out the words right through the page. But what happens in the electronic environment when somebody does that? And what if it is an undergraduate who is, essentially, trying to be funny?

This is a real challenge, and we will have to be very quick on our feet. It certainly is not the way it has been in the past.

It is clear from the implications here that the AUCC project in Canada is starting from an assumption that information is a public good. This new environment is rapidly eroding our ability to protect that idea. The universities, and scholarship in general, are absolutely dependent upon it.

We cannot afford to buy everything we need, and so that is what is happening. It is a critically important aspect of what is also happening here in the United States.

MS. BREIVIK (Wayne State University): Both of you commented on the excitement of students being able to get closer to the cutting-edge thinking of scholars in the field. This idea of a guild of knowledge producers runs into conflict with a speaker we will hear later this afternoon. In terms of paying more attention to undergraduates, we must have faculty thinking more about their commitments to their institutions.

Truthfully, other than some doctoral students and perhaps a few master's students, how many students are going to want to be part of that cutting-edge dialogue? I am not sure that what you consider so wonderful for faculty is really good for our institutions, particularly in undergraduate education. I would appreciate some further comments on that.

MS. BROWN: The AUCC had a full day's session on the undergraduate experience, looking at the myths and realities of what is and isn't changing in the Canadian undergraduate experience.

Two of the issues that we discussed are very relevant here. One was the myth of distance education. Is this the future? Although the Canadian system differs from the one in the United States, most scholars now believe that there will not be more students taking university courses at a distance than those taking them on a campus.

Both STATS Canada and we surveyed the attitudes of undergraduates and high school students and their expectations about how they will be taught in the future. It is astounding. They do not expect to have to go somewhere geographically to take a course. They fully expect to be able to take whatever they want whenever they want it.

The public policy implication in Canada is that our education ministers are now taking a hard look at academic mobility and credit transfers. They are saying that what we need, then, is an environment where, at least at the undergraduate level, there is no host institution granting the degree. There is no longer a home for that undergraduate degree. This raises many questions regarding what a series of course offerings is, what a curriculum is, and also what it is that a curriculum offers that a student cannot get by taking only 15 courses. Things are fundamentally changing in ways no one anticipated.

DR. CHODOROW: I spend a tremendous amount of my time thinking about and working on undergraduate education. I also have some direct experience, as I have taught an undergraduate course since I began as an administrator, giving up graduate instruction in favor of undergraduate teaching.

Our model of what we should be doing in regard to undergraduate education is quite old fashioned and probably wrong-headed compared to some of the models that have come out of the AUCC and Pew recently.

Undergraduates need to learn how to use information resources and how to participate in the research process. Most of the time they either go to the laboratory or, more often, go to the library and do a research project. But what is actually much more exciting to undergraduates is when they can get involved directly in your own research and feel that they are really making a contribution in the larger world, not just as an exercise.

The electronic medium will make that much easier. When the students go into the information resource to rummage about and to try to make a contribution to it, they will find me or other faculty there, as

well as the faculty members' colleagues, and they will become part of the scholarly community, even if it is at a junior level. This will have a tremendous effect.

I would also like to address something that Sally Brown said about taking courses here, there, and everywhere. Universities had two fundamental functions when they were founded. One was the Guild of Knowledge Makers, making and selling knowledge. That was what they did, just like leather workers made and sold leather goods.

The other function was to make judgments about who would be in the guild and who would not. That is what a degree was: You were either admitted to the guild or you were not. You got a license to teach within the guild or you did not. Most people who left the university after being students for some time did not take degrees because they were not interested in their chosen subject.

Academia is a judgment community. One of the things that this new technology is doing is breaking down the foundations of the judgment community. Who decides who has done the right things well enough to get a degree? That is fundamental, and we must control those entities. Judgment remains very important in some form or other; if its current structure changes, we need to reconstruct it.

PRESIDENT CLINE: Thank you very much.

PROGRAM SESSION II
IDENTIFYING STRATEGIC CHOICES AND TRADE-OFFS

INTRODUCTION

Paul Kobulnicky, Director of Libraries
University of Connecticut

Welcome. I am Paul Kobulnicky, Director of Libraries at the University of Connecticut and current Chair of the ARL Committee on Management of Research Library Resources (also known as the Management Committee).

A lot of what the Management Committee has been talking about for the past year or so has come to fruition in today's program. We are very concerned, as you all are, about making strategic choices regarding the investments we must make; we make investments now for the long term, especially when they are grounded in human resources.

The way we will be most effective in our organizations is to have a good sense of how our choices fit into our institutions' strategic directions. We must also recognize that our institutions, though working alone, are also part of a larger higher education fabric. We need to make choices that are consistent with the future for higher education in general.

We are here today to support and contribute to the transformation of higher education. To do so, we must examine the future of higher education and identify the responses necessary to effectively manage, encourage, and capitalize on the changes that are on the horizon.

In Program Session I, our colleagues from the University of Pennsylvania and the AUCC did a remarkable job of addressing the implications of the digital environment on teaching and research and the actions that need to be undertaken by the administration in order to effect a positive result. In this session, we have an esteemed panel of presenters who will address how the various higher education communities are educating decision-makers and other stakeholders about the complex challenges entailed in this evolutionary process.

Notice the word "evolutionary." One of the things we would like to talk about in this session is the fact that our organizations are imbued with great culture, and that culture is very difficult to change. Culture does, however, evolve on a continual basis, and the speakers in this program will talk about broad-based organizational efforts to lead the changes that help move the cultures of our organization.

Our first presenter is Peter Magrath, President of the National Association of State Universities and Land Grant Colleges (NASULGC), the oldest higher education association in the U.S. Dr. Magrath assumed the NASULGC presidency in January of 1995. Previously, he served as president for the University of Missouri, the University of Minnesota, and the State University of New York at Binghamton. He also held faculty and administrative posts at the University of Nebraska-Lincoln and Brown University.

Dr. Magrath holds a Ph.D. from Cornell University and brings to this program a broad perspective on higher education.

Our second speaker for this program session is Gregory Wegner, the Associate Director of the Institute for Research on Higher Education of the University of Pennsylvania. Part of his role at the Institute lies in

helping to oversee the functioning of the Pew Higher Education Roundtable, and he has served since 1988 as the managing editor and co-author of its periodical, *Policy Perspectives*.

Dr. Wegner received a Ph.D. in English in 1987 and has served as senior liaison for colleagues and universities throughout the nation. He will focus today on the work of the Pew Roundtable.

Our third presenter will address the understanding between scholars and librarians about the nature of the challenge facing library leadership. Phyllis Franklin is the Executive Director of the Modern Language Association, a position she assumed in 1985. Prior to that, she taught American Literature and Women Studies at the University of Miami and served as a Fellow in the academic administration at Duke University under the auspices of the American Council on Education. Dr. Franklin received an A.B. degree from Vassar and an M.A. and Ph.D. from the University of Miami.

Let me begin by asking you to welcome Peter Magrath.

THE FUTURE OF PUBLIC UNIVERSITIES

Peter Magrath, President
National Association of State Universities and Land Grant Colleges

I will talk about trends in higher education and where the public research universities are headed. I am not convinced that it is different from the direction the great private research universities are headed, at least regarding their dialogue and discourse. The issues are remarkably similar. Public versus private is, to some extent, an organizational issue, as opposed to a funding and support issue.

Three points:

1) Everything is not okay in higher education today.

2) Mae West once said, "It is better to be looked over than overlooked," and, ladies and gentlemen, we are being looked over.

3) Roland Schmidt, the former Senior Executive with GE, the former President of Rochester Polytechnic Institute, and a man very active with the National Science Foundation once said, "Business corporations are institutions designed by geniuses to be run by idiots; universities are enterprises designed by idiots to be run by geniuses."

We need geniuses to help design and restructure, as well as to run, these complex universities that are such an important part of not only our heritage but also our future.

I will sketch out what I think is the environment that impinges on American higher education today. In the interest of time, I am not going to explain these points. In any event, they will prove familiar to all of you because you are so actively engaged with these issues.

First, we currently have an environment that is radically different from that of the Cold War era, which is not far behind us in historical terms. The Cold War had its pluses as well as its minuses. One of its pluses was that it provided enormous fuel and resource support to American higher education. This is evident when you look at how we were perceived in our enterprise as being part of the National Defense Security Establishment. The Cold War and the rationale that upheld a good deal of our support, in terms of student aid, research support, and in other ways, are gone.

Next we have the financial crunch. I do not think that I need to explain it, except to say that I do not think that the calculations that we make are as disastrous if we assume that, financially, we are on a kind of pendulum and we will have an upswing and go back to a relatively stable, constant growth of resources in the future. I do not believe that this holds true for the foreseeable future. At best, we can look forward to incremental increases in certain areas, but finances, resources, and money will continue to be extraordinarily tough for us in all sectors of higher education for a long time to come, and we had better adapt and be adaptable, because this is the reality we face.

Third, we have inflicted wounds on ourselves that have to do with all kinds of issues where the criticisms may be exaggerated. They are often political. However, at times, we, as faculty, appear to be rather selfish, whether as educational or academic administrators. If we were to talk about the unhappy topic of intercollegiate athletics, we could all make our own list.

In higher education, we make a serious mistake if we overlook the fact that at times we have appeared to be somewhat selfish and self-serving. And, like it or not, there is a push for accountability, in

part because we are so important to the nation and its economy and its society. This push will not go away, and we need to address this issue ourselves.

Related to all of this as part of the environment is the issue centering on costs, quality, and the rise of tuition. This has occurred dramatically both in the public and private sector. I have participated in it. I am not proud of it, but we have raised tuition dramatically and often for compelling reasons. However, when you raise tuition, you raise questions about the quality of education and about what the consumer gets for the additional costs that the individual is contributing to his or her education. The cost and tuition issue will not go away in 1997 or 1998.

We are in a technological society, as well as in an education and information explosion with which we have not yet fully come to grips. You all deal with this everyday in your professional work, but the impact that this is having on education and the ways in which it is delivered is enormous. Many of the brightest men and women to whom I listen are confused as to what the outcomes will be.

Here I will make a plug because I think it fits. This has a lot to do with the interests of all of us who care about research universities, private and public, and I hope that my association, along with ARL, the AAU, and others that are deeply concerned, can continue to work very closely together on the issues of fair use. After all, we are both the producers and the users of this important intellectual information, and this is part of that new environment with which we are all grappling.

Finally, we are dealing with a whole new category of students. I do not know what a traditional student is; there are students of all ages, all circumstances. We must recognize that one of the major things we do is to educate men and women of all ages. The environment of students today was not the environment of 20 years ago, and certainly not of 40 years ago.

I believe, as I suspect you do, that there is much that is right about U.S. higher education. We are one of the success stories in our society, and when people talk about what is wrong in education in the United States, they are usually thinking of elementary and secondary education in the public schools. We are far better than our narrow ideological and political critics assert. Our educational standards and outcomes are quite good. Our graduate and research accomplishments are the envy of the world. However, I suspect that they are not as good as we would like for them to be for undergraduate students.

Many positive teaching and curricula reforms are underway; I think that there is a fair argument to make that there is a need for such changes. We are at times arrogant and insensitive to public accountability needs. Undergraduate students in particular need more attention. We have missed enormous opportunities in primary and secondary education. I do not mean opportunities to solve the problems within K-12 education, because we cannot. But, with a few exceptions, we have not really engaged ourselves with the issue of the public schools, which are extraordinarily vital to our society, as well as to our colleges and universities.

We have not yet come together regarding how we can accommodate and use the new information technologies, and we need to link with our potential and real allies: communities and business enterprises. In every respect we need to serve the public as much as possible.

One of the critical issues that we face is the university. It is not just the faculty culture, but also the academic culture. This is one of the most difficult challenges that we face.

Denial is very normal and human. However, it will not work with regard to the issues that are out there and that are impinging upon us, and whether we like it or not, at least the fiscal stresses ought to tell us that denial and "business or education as usual" will not work. This is a general premise of the Kellogg Commission on the Future of State and Land Grant Universities. For more information, please see the Commission brochure entitled *Taking Charge of Change*.

The Commission is premised on the assumption that leadership counts, and that university chief executive officers are men and women who are leaders. It assumes that, as leaders, they have the responsibility to try to bring about change at their own institutions and in collaboration with each other; that people working together from similar institutions can accomplish an agenda for change and can promote it so that we can make that jump together. That is what leadership is about.

That belief is part of the Commission's general agenda. The Commission is made up of 25 chancellors and presidents of state and land grant universities. We have an Advisory Council chaired not by presidents but by real people — trustees or former trustees, business leaders, and others who do not speak "academese." They are critics, but they are really friendly critics who care about the enterprise and are deeply committed to it.

The Kellogg Commission leaders' statement points out that there are certain issues with which we need to deal first. This Commission will not lead to a report or document that will go in our libraries; there will be a series of calls for action and change. They will be short, direct, and to the point: letters to presidents, letters to each other, and guidelines as to what kind of changes are already being made. However, we need to go further with regard to what we do with undergraduate education, how we deal with the learning society, and how we deal with our engagement with the public.

Our first call for action will deal with student experience. This includes, not surprisingly, access issues, a critical area for all universities and colleges. We plan not only to deal with the issues of outreach and extension, but also with how public institutions are involved with students. We will also deal with the continuous learning society. In all of these topics, and especially at the end, we are going to try to address the campus and the academic culture.

I would like to conclude by quoting something from Bill Richardson, very recently president of Johns Hopkins University, and who is now the president of the Kellogg Foundation. He was talking about Harvard and Johns Hopkins in terms of myth and reality.

He said, "There is a Harvard of myth and a Harvard of reality. I realize that Harvard or Johns Hopkins or any excellent university still does a huge amount of very important research. But, in fact, there has been a transformation at Harvard, Hopkins, and elsewhere. It is a transformation driven by a new or renewed commitment to part-time learners, adult education, and undergraduates, a transformation that includes hands on research that is readily useful and transferable to communities. In fact, these universities are at their best when their faculties engage in such a range of activities. It is ironic. While many land grant and regional universities are trying to become more like Harvard, Harvard is trying to become more like them."

A research-as-king mindset has shaped the academic culture and hierarchy of most American universities. Our ability to change this status quo will pose yet another major challenge for higher education during the post-Cold War era.

I do not want us to be like Edsels: scattered, valuable antiques. If we do not make certain changes and adaptations, we will lose the research function, which is the one thing that we do superbly well. However, it is contingent upon our credibility and our public support.

The whole premise of this Commission, as well as similar efforts and inquiries that are underway, is that there must be change. All of us within universities in leadership positions have obligations to come together, move beyond denial, and recognize our accomplishments without being afraid to admit that there are changes that need to be made and that we can make those changes.

This is the agenda of the Kellogg Commission. I hope that our universities will not become wonderful, valuable, antiques, the Edsels of the future.

QUESTION AND ANSWER SESSION: DR. MAGRATH

MR. KOBULNICKY: We are going to take a few minutes for some questions for Dr. Magrath.

MR. CAMPBELL (University of Southern California): There is one element on which I would like to hear you comment that seems to be affecting research libraries these days. Many of us are beginning, because of the pressures on us, to think of our universities, our libraries, and their resources as moneymaking opportunities. This seems to change some fundamental values. Do you have any comments about that?

DR. MAGRATH: As a matter of fact, at my annual meeting we will have a session chaired by one of our presidents, as well as a number of others dealing with the privatization issue, which has various connotations. I believe that we have to scramble and fight to attract resources. If we do not have resources, we cannot do the job.

There are ways that we can avoid selling our souls and doing things that are improper. Let me turn it around this way: I do not have a problem with universities having relationships with the Department of Defense, as long as those relationships are understood.

We know what we do; we know what we cannot do. The ground rules are open and understood and yet, there are those who have argued, and we have all heard those arguments, there are those who believe that entanglements with the Department of Defense are inherently corrupting and we should not take that kind of money.

I do not know about profits, but we need to attract resources, and I am on the side of alliances with business, as long as it is serving our fundamental purposes as much as meeting some other needs.

MS. BAKER (Washington State University): I want to deal with the public perception issue, which I think is going to be one of the most difficult issues. In some areas we are beginning to get past denial and are beginning to make some changes, trying to be responsive. However, we find that it is very difficult to change public perceptions once they are formed. Do you have any observations on this?

DR. MAGRATH: I agree with you. I want to answer this in two ways.

One: I remember when I was a faculty member at Brown in the 1960s, and I felt that students really trusted me and my colleagues, and then we got into the Vietnam War. We know all the things that happened.

I remember going to Nebraska, which was a reasonably stable part of the United States, although that changed there, too. I remember dealing with students and feeling that, although they kind of wanted to like me personally, I was a symbol of authority, and I could feel their distrust.

We have the same problem with regard to the perception issue here. The Public Affairs Director at Pennsylvania State University wrote to Graham Spanier, the President of Penn State and also a member of the Kellogg Commission. In the letter he described a *Philadelphia Inquirer* story regarding college costs and tuition. In a meeting with public affairs people, the journalists and other *Newsweek* and *Inquirer* representatives were saying that the universities have real problems and that the media is not going to back away from the issues of cost, tuition, and efficiency.

We have an enormous perception problem, and, in part, we have it because we come across as being too arrogant. I believe that we have heard ourselves, and we are supposed to be good and special. The gentleman asked a question about profits. We are supposed to be above that. However, we are human beings, and we cannot be totally perfect. We do appear to be arrogant and insensitive, and I think that

hubris got to us. We were so important. We were needed. I remember as a graduate student saying, thank God, I am really in the right enterprise, we are so important and what we do provides the intellectual capital that we all need. This is probably true, but we overdid it.

MR. KOBULNICKY: The heyday of the land grant university made the relevance of the universities — teaching, research, and service programs — obvious to the community. The community saw the benefit. What can we do now in today's environment to recapture that degree of obvious relevance on the part of the community?

DR. MAGRATH: I have used the trilogy: research, teaching, and service. Research is service. If you are teaching students — graduate, professional, undergraduate — that is service to society. I do not care whether it is Pennsylvania State University or the University of Pennsylvania, Yale or the University of Connecticut; anything we do is service, in certain respects, to the communities and people that we serve.

That is a land grant philosophy. Yes, it had something to do with agriculture, but it goes beyond that. I am prepared to make the argument that Johns Hopkins and Harvard are in public service, just as much as esteemed state universities are. That is what we have to keep saying: We are here to serve. And, ultimately, it does not matter whether Penn or Penn State, for example, are enhanced or great; what matters is whether they provide great service with their educational resources.

MR. KOBULNICKY: I would like to push this just one second. We say it, but what do we do to demonstrate it? How do we build the relevancy back up in the eyes of the community?

DR. MAGRATH: One thing we do is we listen to other people, and not just when a legislative committee in Texas starts wanting to get into the tenure issue. We bring in the informed citizenry to be advisors and consultants. Maybe you have them sit in on meetings about library operations, and, particularly, academic programs. You can bring in people who tell you things that may be off the wall, but it is possible that some of the ideas may be very helpful.

Currently, we do that very well, and I think we ought to be able to do it. We are much too cloistered.

Thank you.

LESSONS FROM THE PEW CAMPUS ROUNDTABLES

Gregory R. Wegner, Associate Director
Institute for Research on Higher Education
University of Pennsylvania

The premise of these remarks is that the environment for higher education is changing, and that there is a need for concerted response among institutions to address these changes. As leaders of some of the most distinguished research libraries and higher education institutions in North America, I know that you are well aware of both the fact of change and of the need to address it. My theme is the need for higher education institutions to exhibit a greater willingness to build partnerships both within and among their campuses for redefining higher education. I will describe not just the experience of our Pew Roundtable program but of other programs and initiatives that seek to encourage such partnerships.

The Pew Higher Education Roundtable began in 1986 with funding from The Pew Charitable Trusts to foster an informed national dialogue on the challenges facing higher education. Our Institute for Research on Higher Education at Penn was in charge of the program which brought together some two dozen leaders of colleges and universities from around the country to discuss the challenges they saw confronting higher education institutions of all kinds. This original roundtable group came to identify three basic issues: the cost of higher education; quality teaching and learning; and access. In 1988, we began publication of *Policy Perspectives* as a means of extending this dialogue to higher education administrators, trustees, faculty, and those who help to shape higher education policy at both the federal and state levels.

In 1993, The Pew Trusts challenged us to take the roundtable model we had developed and begin working directly with individual campuses that sought to bring about change to their operations. We began that year to test this process with 30 pilot institutions, and we convened a national meeting in St. Louis to announce the program and take account of the campus roundtable method as a way to catalyze change in individual institutions. By 1994 we had extended a broad invitation to college and university presidents to convene campus roundtables at their institutions in partnership with the Pew Higher Education Roundtable.

Our program has now facilitated over 130 campus roundtables at research universities, comprehensive institutions, liberal arts colleges, and community colleges throughout the U.S. A campus roundtable brings together about two dozen members of a campus community—faculty, administration, students, and trustees—for two separate daylong discussions of the institution, the issues and challenges it confronts, and the possibilities that exist for fulfilling its missions more effectively. Some of these sessions have helped to advance an institution's change process in significant ways, providing the impetus to rewrite a mission statement; initiate an academic or a strategic planning process; give renewed energy and focus to an existing change agenda; recast the curriculum for an institution's freshman program or for its general education requirements; restructure an office of student affairs to foster greater unity between the culture and functions of academic and student life; or transform the teaching of mathematics, physics, chemistry, and biology from a stand-up lecture to a problem-based studio format that utilizes technology as a teaching tool.

Other campus roundtables have produced good talk that has yet to bring real change to the culture of the institution at large. As a program, we now have enough experience to identify some lessons that the campus roundtables have taught about how higher education institutions take up—or put off—the imperative of change.

Lessons

1. *It is critically important that institutions build a shared understanding among faculty and administration about the mission and identity of the institution, the constituencies it serves, the challenges it faces, and the ways in which those challenges should be addressed.*

The foremost challenge in powering a change process within institutions is to encourage members of the institution—faculty and administration in particular—to work together in more concerted and effective ways. The issue of *Policy Perspectives* included in your meeting materials speaks to the need for faculty and administration to come together and build working partnerships of a sort that many have not known in the past. "Shared Purposes" argues that in an institutional economy that is not characterized by growth, faculty must come to play more active roles in planning and resource decisions. There is a need to focus, to decide among competing institutional objectives, however valuable each may be in itself. If these choices are to reflect the values that are most important to an institution, faculty must be involved in the process of choosing.

Roundtables at their most successful have helped members of a faculty to understand that the external pressures on an institution are real. Such discussions have helped to develop stronger ties of trust and partnership between faculty and administration, and these ties in turn have provided foundations for the particular courses of action an institution chooses. At worst, roundtable sessions have become occasions for venting anger and widening the gap between the faculty and administration. We have learned to read signs of a campus environment that is not ready for a roundtable discussion.

2. *There is a critical need to recharge the change process at frequent intervals.*

A roundtable often generates considerable enthusiasm among participants as they come to see that they are not alone in their concerns. As it becomes clear to individual participants how many of their colleagues share their own perspectives and goals, the horizon seems to expand, and for a time a roundtable group can entertain a vision of their institution as it might be. But all of these participants subsequently return to their campus roles and identities, where the pressure of Monday morning reasserts itself and the horizon of possibility gives way to quotidian routine. Institutions cannot regard change as a stone that, once dislodged, will continue to roll and gather momentum; the course of change generally leads uphill.

3. *To continue momentum on a given campus, there is a need to build partnerships among institutions themselves.*

This is a theme that research libraries exemplify, and the transformation that is occurring within your own facilities as they respond to pressures of increased expectation, changing technology, and constrained resources indicates a trend that needs to occur more broadly within higher education.

One of the best examples from our campus roundtables of drawing together to create improved service and efficiency is the South Dakota Board of Regents Institutions, a set of six institutions that share a common challenge, aptly characterized by one of its Roundtable participants as: "Shaping a system and making it relevant as it emerges into the twenty-first century; a system created in the nineteenth century in a state of large geographical area, sparsely populated; a system that consists of six small institutions, often in economically dependent small communities; a system characterized by duplication of departments, of programs and of institutions, as well as by diminishing funding opportunities; a system that nonetheless is remarkably efficient in serving the needs of the state."

The South Dakota Board of Regents Institutions have adapted our campus roundtable model to convene several system-wide discussions focusing on how to provide a better, more efficient system of higher education to meet the needs of the state. In addition to faculty and administrators of the six institutions,

these roundtables have included state legislators and even the governor. The system is forging a difficult path to move from what has been termed a "silo" mentality—in which each institution's field of vision is centered primarily on its own resources, faculty, and programs—to a vision that encompasses the strengths of all six institutions in a single approach to providing consistently high quality education in a variety of locations, through a variety of means. Moving from an environment in which individual campuses compete with one another for limited funds to one in which they work in partnership to achieve shared objectives is not an easy task; the challenge of overcoming self-interest is always there. But the system is working hard to create an environment that encourages the strength and creativity of individual campuses to flourish within a framework of overarching goals: what they call "bottom-up solutions to a top-down parameter."

To create a higher education system that balances the distinctive strength of individual institutions with the advantages of a system-wide approach, the South Dakota Regents are seeking to establish what they term "discipline councils." These discipline councils would enable a system-wide approach to the utilization of both academic and financial resources within disciplinary units. This approach could help determine which faculty should teach certain specialized offerings and what campus locations should house particular lines of inquiry within a discipline. Discipline councils would impart a broader perspective to the recruitment of faculty and professional staff by minimizing the duplication of credentials at different campuses and sharpening the focus of search processes on areas of greatest need or opportunity within the system. These inter-campus councils would also make it possible to communicate broadly the opportunities that exist for external funding as well as the successes of particular institutions in securing such support.

There are a number of questions these institutions face as they work to establish discipline councils: How can members of individual departments be encouraged to overcome strictly proprietary feelings toward the curriculum and students they teach? How might the councils be constituted to strike a meaningful balance between individual campus culture and the system-wide approach to the utilization of resources within the discipline? By what means should these system-wide bodies communicate and reach decisions? What should be the relation of discipline councils to campus governance structures?

The South Dakota story is far from over; the discipline councils are still in the planning stages, and it remains to be seen how this set of institutions will resolve the state budgetary pressure for improved efficiency and the pressure of individual institutions and their faculty to maintain individual autonomy. But the theme of their actions is clear: a set of institutions, feeling the pressure of budgetary constraint and accountability to public expectations, takes steps to consolidate resources and direct its strengths to serve its constituents more effectively. Bringing about improvement on this scale requires a commitment to communication and partnership, not just within but among institutions.

The South Dakota institutions exemplify the need for interactions among institutions that help each to identify issues and share in the development of best practices for addressing them. The Kellogg Commission on the Future of State and Land-Grand Universities that Peter Magrath has described exemplifies another attempt to foster this kind of interaction. The American Council on Education's Project on Leadership and Institutional Transformation, also funded by the W.K. Kellogg Foundation, is working with a set of institutions to identify common objectives and work toward their realization on individual campuses (a description of that program appears in the *Policy Perspectives* issue included in your packet [vol. 6, no. 4, Apr. 1996]).

Another program that holds the promise of fostering stronger ties among institutions is the Pew Leadership Award for the Renewal of Undergraduate Education, established last year by The Pew Charitable Trusts and administered by our Institute for Research on Higher Education at Penn. The Leadership Award provides recognition and support for colleges and universities that have taken substantial steps to revitalize their operations and improve the quality of undergraduate teaching and learning. Last week the Leadership Award conferred recognition on the first of what we hope will be several institutions to demonstrate noteworthy courses of change: Alverno College of Milwaukee, Portland State University, and Rensselaer Polytechnic Institute in Troy, NY. In part, this award is an attempt to

disseminate best practices in higher education reform and restructuring and offer models that may be of use to a variety of institutions. In addition, the Award provides resources that will enable institutions to build communication networks and mentor other colleges and universities that seek renewal along similar lines.

Another program that seeks to foster better ties of interaction is the Knight Collaborative, funded by the John S. and James L. Knight Foundation. Through this program, our Institute seeks to address what many colleges and universities have identified as the need for additional steps beyond the fact of their campus roundtables. The premise of the Collaborative is the need for institutions to establish and sustain communication with one another as a way of advancing the change process in their own settings. As a pilot test of this program, our group will convene a follow-up meeting in St. Louis next month, bringing together representatives from nearly all of those institutions that have held campus roundtables over the past three years. The Collaborative will provide opportunities to share what we have learned in the time since these campus roundtables have occurred. One component of the St. Louis meeting will analyze the concept of bringing institutions together in the presence of expert providers to focus on a well-defined problem that the institutions have in common. One such experiment involves a set of our roundtable institutions working in conjunction with the American Productivity and Quality Center (APQC) in Houston to benchmark the academic budgeting process. Another test project, based at Penn, is a collaboration between our Institute for Research on Higher Education and the Wharton School to offer an executive education program in higher education. Its goal is to bring together teams of higher education faculty and administrators from several roundtable institutions, helping them to address and overcome the cultural barriers within higher education that often impede effective decision-making. The hope in both of these pilot projects is to create empowered teams—groups of both faculty and administrators that can return to their institutions and become advocates of change from the knowledge that other institutions are working on the same issues, bringing to bear some of the same ideas for redefining their institutions.

Questions

As leaders of research libraries or of academic institutions with a strong research mission, what steps should you take to build a greater commitment within your communities to necessary change? We have found that it is very hard to give general answers to this question. Each institution consists of particular elements that make it difficult to apply a template for change. In our role as facilitators of campus conversations, we often begin by asking the simplest, most basic questions of our roundtable institutions. Here are three sets of questions that might help to identify an appropriate course of change within your own settings:

1. To what extent is there a shared understanding within the campus community of the challenges facing the institution? Do members of the faculty, in particular, understand who the constituencies of the institution are? Are they well informed about the nature of the decisions facing the institution or the tradeoffs involved in different courses of action?

2. What specific changes in the organization or the culture of the institution would enable it to fulfill its mission more effectively than it does at present? What factors impede the realization of these changes, and what courses of action could help to remove these impediments?

3. Of the obstacles the institution faces, which ones does it seem to be capable of overcoming on its own? What are the issues that it would be useful to share with other institutions to gain the benefit of their experience? What opportunities exist for developing partnerships that pool resources and eliminate unnecessary duplication while preserving the individual character and strengths of different institutions?

In the most general terms, the redefining of higher education—both the "what" and the "how" of change—derive from answers that an institution, or a set of institutions, gives to these questions.

One of our *Policy Perspectives* essays, entitled "Twice Imagined," posits two different scenarios for higher education in coming years: one in which institutions compete fiercely for particular segments of the higher education market, each trying to look more nearly alike along the dimensions charted by the annual rankings of colleges and universities that appear in *U.S. News and World Report* and other periodicals. Our essay also describes a second, more hopeful scenario, in which institutions come increasingly to build partnerships for shared objectives while pursuing missions and serving constituencies that are more clearly defined and distinctive. We argue that "Colleges and universities must simultaneously become more nearly interchangeable nodes on an expanding educational network, *and*, as individual institutions, they must become more distinctive and discernible from one another." It is obviously this second scenario that we seek to foster through the Pew Roundtable, the Pew Leadership Award, and the Knight Collaborative. I believe that the research libraries that you oversee are uniquely positioned to show leadership in redefining higher education along these lines.

THE PARTNERSHIP BETWEEN SCHOLARS AND LIBRARIANS

Phyllis Franklin, Executive Director
Modern Language Association

I stand before you today because, at several meetings with ARL representatives, I engaged in special pleading and referred to old connections between modern language scholars and research libraries that scholars and librarians might want to revitalize. I take it that I have been asked to explain myself, and I am glad to do so because I think we should renew an old and entirely respectable connection. I want to talk a little bit about what brought us together in the past.

Like many good relationships, the ties between scholars and librarians were based on passion; on the modern language scholar's side, this was a passion to explore the origins and evolution of the modern languages as they were beginning to be studied in Germany early in the nineteenth century. Let me tell you about one modern language scholar who was drawn to this new work early in the century, so that you can see how his interest in philology connected him to libraries.

George Perkins Marsh was a lawyer, ambassador, and legislator; he served on the Vermont legislative council and in the United States House of Representatives. He described his scholarly interests as "my passion for old English and all manner of Old World nonsense" (C. C. Marsh 34). He was drawn to the study of symbols he thought "instinct with organic life" and "susceptible of the application of organic law" (*Human Knowledge* 7), symbols that conveyed—for emulation—the language of commerce, of civilization, of social and religious freedom, of progressive intelligence, and of active catholic philanthropy. . ." (*Lectures* 25, 11). Attracted to scholarship in 1821, when he was twenty years old, Marsh pursued this avocation throughout his life (Lowenthal 28). In his spare time, he taught himself to speak, read, and write French, Spanish, Italian, Swedish, Norwegian, Danish, Turkish, Arabic, and Persian, waking before dawn every day so that he could begin his studies by five. He worked until eight, had breakfast, and then went to his office (Curtis et al. 30). By the time he was thirty-seven years old, he not only had an established law practice, but he also had completed for publication *A Compendious Grammar of the Old Northern or Icelandic Language*, which was admired on both sides of the Atlantic.

Invited to give the Phi Beta Kappa address at Cambridge in 1847, Marsh argued that a new stage in scholarship had been reached, requiring a new kind of scholar. Knowledge had so expanded that "none can hope to possess it in its full extent. . . . He therefore who aspires to be initiated into the mysteries of science must elect his faculty, and choose ignorance of some things well worthy to be understood . . . " (*Human Knowledge* 14). The "modern" scholar, Marsh insisted, was a specialist. To understand how thoroughly radical a statement Marsh made in this address, one has only to compare it with Emerson's far more famous Phi Beta Kappa address, presented a decade earlier.

A major impediment to Marsh's pursuit of his passion for modern language philology was the lack of books in this country. (In the 18th century Benjamin Franklin had formed a club so that members could share their books; a century later, in 1842, the founders of the American Oriental Society were still eager to collect and share books.) Although Marsh teetered on the brink of financial disaster for most of his adult life, he somehow managed to buy the books he needed to pursue his studies. (When he died he owned 12,000 volumes.) The point is, he knew what it was like to want books and be unable to get them.

This driving need for books led Marsh to argue, when he was a member of the House of Representatives, that the United States should have and should support a national research library. Marsh used the occasion of the debate about the disposition of James Smithson's bequest to make his case. The debate focused on whether the purposes of the Smithsonian Institution should be intellectual or practical. Arguing on the side of the practical were the westerners; Senator Benjamin Tappan of Ohio and

Representative Robert Dale Owen of Indiana advocated "agricultural schools, popular lectures, chemical experiments, and other projects of immediate value to the common man." Arguing for the intellectuals were Marsh, John Quincy Adams (another modern language scholar), and Rufus Choate. They "favored a big museum and a great national library for basic research and the diffusion of knowledge among scholars" (Lowenthal, *Marsh* 82). Marsh entered the debate both in committee and on the floor of the House. In what has been called his most important speech, he effectively argued the intellectuals' case: first, he objected to the narrow definition of science offered by the westerners in an early version of the bill as "the numerical and quantitative values of material things" and insisted instead that

> a national library can be accommodated to no narrow or arbitrary standard. It must embrace all science—all history—all languages. It must be extensive enough, and diversified enough, to furnish aliment for the cravings of every appetite. We need some great establishment, that shall not hoard its treasures with the jealous niggardliness which locks up the libraries of Britain, but shall emulate the generous munificence which throws open to the world the boundless stores of literary wealth of Germany and France—some exhaustless fountain where the poorest and humblest aspirant may satisfy his thirst without money and without price . . . . (*Speech* 6, 8)

Marsh's speech was much applauded, and what is more important, it was widely reported and praised in the press. One report said Marsh presented to the westerners an example of "a living scholar." And the intellectuals won, at least in principle. The library at the Smithsonian never developed as Marsh hoped it would, at least not until after 1866, when the collection was moved to the Library of Congress, but he helped gain public acknowledgment of the need for federal support of a research library that would be open to everyone.

Not all modern language scholars could wield the kind of influence that Marsh had. He was a public person of some importance. But there were growing numbers of other modern language scholars who shared Marsh's passion and who taught in U.S. colleges and universities. Before the traditions of the German research university helped redefine American higher education, intellectual life was quite limited, and the case for libraries had to be made. In 1871, James Garfield honored a college teacher he revered by saying: "Give me a log hut, with only a simple bench, Mark Hopkins on one end and I on the other, and you may have all the buildings, apparatus and libraries without him." Neither Garfield nor Hopkins thought books were important. In fact, Hopkins seems to have prided himself on having little to do with books. He is reported to have said, "You read books. I don't read books, in fact I never did read any books" (Clayton 122).

But modern language scholars did read books, and in many fields, because they defined modern language studies in the broadest possible way. Francis March, who held the first title of English professor in this country (at Lafayette College), described what he thought the study of English included: language mainly as literature and the study of grammar, etymology, rhetoric, poetry, criticism, psychology, history, and nature. To do his work, March needed to consult "many books in many languages, since it is only by comparison of works of different nations and ages that we can find out the peculiarities of each nation, age, and person, and trace the influences from which a great work has sprung, and the influences which it has exerted on other minds and on language" (*Method*, n.p.). Can you imagine a better group of scholars to pressure for the establishment of research libraries in the academy?

And apply pressure they surely did. Consider George Ticknor, who, in 1819, became the first Smith Professor of French and Spanish Languages and Literature at Harvard University. After earning an undergraduate degree from Harvard, Ticknor went abroad to study, and he learned to see libraries in a new way. In 1812, while he was still in Germany, he wrote to a friend:

> . . . one very important and principal cause of the difference between [Harvard] and the [university] here is the different value we affix to a good library. . . . In America we look on the Library at Cambridge as a wonder, and I am sure nobody ever had a more thorough veneration for it than I had; but it . . . is . . . half a century behind the libraries of Europe. . . . [Even] worse than the absolute

> poverty of our collections of books is the relative inconsequence in which we keep them. . . . . We have not yet learnt that the Library is not only the first convenience of the University, . . . it is the very first necessity, . . . it is the life and spirit. (Long 12)

Books were so important to Ticknor that he would not accept the Smith professorship until Harvard agreed to allocate funds for books. The scholars who followed Ticknor at Harvard—Henry Wadsworth Longfellow and James Russell Lowell—were no less energetic about adding to Harvard's collections. They were joined in this effort by Francis Child, who taught rhetoric and English literature. And they succeeded. A letter written 12 August 1878, by Child to Lowell indicates just how much. Child says,

> I keep an eye on all the books I think you would like, and as we can spend nigh 16,000 a year now, one gets pretty much what he asks for. I am even proposing to the Council to buy 3500 dollars worth of Medlicott's Books—including some really fine things in the way of old authors More, Erasmus, Spenser, etc. . . . They are beginning to pet us Jamie—just as we are leaving them. (*Scholar-Friends* 37-38)

I cite these modern language scholars only as examples. They were not alone in their passionate need for books and their support for the development of research libraries.

In an important way, you—or, rather, the institutions you lead—are what these nineteenth-century scholars dreamed of having. And it is not surprising that, having made a case for books and libraries and having seen these libraries put in good hands, that scholars went about their business.

Unfortunately, several years ago, when a number of MLA members became concerned about the future of primary records, they discovered that there was no obvious way to reestablish an easy connection with librarians. We are particularly grateful, therefore, that Duane Webster was willing to listen to our concerns and to call these concerns to the attention of the ARL Preservation Committee, which then met with us to talk about this important problem. My colleagues in history, religion, art, and other fields are also pleased. We know that the task we have taken on is more difficult than the challenges the nineteenth century scholars and librarians faced. First, the nineteenth century was a period of growth for higher education. We seem to be in a period of perpetual fiscal constraint. Second, technological changes present new opportunities, but they also introduce uncertainties about the way scholars and librarians will do their work in the future. Third, the need—and passion—for primary materials may be limited in the future to small groups of scholars in all fields. Finally, we—scholars and librarians—have changed. I know that it's a commonplace to say that scholars are too specialized, but, I assure you, we are all equally specialized. You can't do what you do without specialized knowledge—and a way of viewing books and libraries. At the meetings we have had with ARL representatives I have been struck with how different our perspectives and our vocabularies are.

Scholars have much to learn about how you do your work. We need a better understanding of this to accomplish our goal, and you will need to be patient with us. In the meantime, I must say that I have learned a great deal from our meetings. I look forward to learning more.

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LUNCHEON SESSION
EXPLORING ISSUES OF THE NETWORK SERVICE PROVIDER

INTRODUCTION

Fred Heath, Dean and Director of University Libraries
Texas A&M University

Welcome to our luncheon session. This session will examine the critical choice issues being made by network service providers as they try to manage the onslaught of new information technologies. Our presenters will address the development of campus-wide information policies and recent incidents that may help all of us consider how best to approach these potentially contentious issues.

We will hear first from Jill Lesser, the Deputy Director of Law and Public Policy at America Online. Prior to joining America Online (AOL), Ms. Lesser was the Deputy Director of Public Policy and Director of the Civic Media Project for People for the American Way, which is a civil liberties organization.

Ms. Lesser was the organization's chief spokeswoman on all telecommunications policy issues, and her responsibilities included organizing and managing coalitions to promote public interests, telecommunications policies, drafting legislation, and testimony for House and Senate Committee hearings and lobbying Congress.

She received a B.A. Degree in Political Science from the University of Michigan and a J.D. Degree from Boston University School of Law.

Our next speaker will be Frances Groen. As you know, Francis is director of libraries at McGill University, a position she assumed in June of this year. Prior to that, she held appointments at Stanford and at the University of Pittsburgh, and served as president of the Medical Library Association in 1990. This year, she also received the Outstanding Academic Librarian Award from the Canadian Association of College and University Libraries.

And lastly, I will walk you through some efforts Texas A&M has made to establish our information policy at the local level.

THE INTERNET AND FEDERAL INFORMATION POLICIES: A STEEP LEARNING CURVE

Jill Lesser, Deputy Director of Law and Public Policy
America Online

I always welcome the opportunity to talk to audiences like this because, as a policy person in Washington, it is so important to both talk to and hear from people outside of Washington in order to have a better understanding of what all of you are experiencing out in the field. We can then give you an idea of what we are experiencing, which, in the Internet arena, has been a barrage of attacks.

I would like to give you some context for my reasoning, and also an explanation of the attacks on content on the Internet. I will make a plea to the information community to take a leadership role in sorting through some of the issues facing universities, their libraries, and libraries in general. We should be trying to figure out how to provide access to the Internet (for students and for the public), as well as how to distribute information.

I originally worked as a civil liberties lawyer. I was part of a small coalition of public interest and civil liberties organizations that joined with the information industry to fight the Communications Decency Act (CDA) in the legislative arena. Although we were generally unsuccessful, we were successful in raising the awareness of the issues surrounding the CDA. However, we ultimately could not convince Congress not to pass the law.

I was instrumental in pulling together the industry with the American Library Association and other civil liberties groups, as well as with many people in the Association of Research Libraries and in the higher education community to fight the CDA. I cannot emphasize enough the value of the participation of this community in raising awareness of these issues. Had we seen a case go forward with only the American Civil Liberties Union, civil liberties organizations, or with the industry alone, the outcome of the case would have been quite different.

At the hearings for the CDA, all three judges found that there was particular interest in and many questions about the library issues. It is very easy to say that commercial content and access providers must find a way to monitor content as a price of providing access or information, but the library situation is entirely different. Monitoring content is not what libraries do most regularly. Therefore, when library witnesses talked about their mission and the ways in which this new technology is an opportunity for the library community to provide more access to information for more people, it gave the judges pause in terms of considering the case.

Some background on the CDA follows. There were several parts to the Act, some of which applied to the direct communication of indecent material to a minor, and some to the display of information in a way that would be available to minors. The latter is clearly the more difficult of the constitutional questions. The judges in the District Court collapsed all the parts and found the entire statute unconstitutional on both First and Fifth Amendment grounds.

In its appeal to the Supreme Court, the Solicitor General's office has, in its jurisdictional statement, endeavored to separate the two amendments. The office has tried to point out that the judges were clearly mistaken with respect to sending indecent information directly to a minor. Their argument is that people know when they are doing so and can therefore control it, hence, it is clearly constitutional. They acknowledge that the display provision has more problems, although they claim it is unconstitutional. They have now tried to convince the judges to segregate that from the rest of the CDA.

The Supreme Court will not do that. It will not write the display provision to apply only in the commercial context, which is actually what the advocates of the act are trying to have the Court do. The Court may, however, go back and decide that the entire statute is severable, that it can be segregated.

The two main questions raised in this case concern both the First Amendment, and the Fifth Amendment. The First Amendment is overbroad, and the question is whether you are really getting to constitutionally-protected material, and the second question, regarding the Fifth Amendment, is the vagueness question: Are we giving people a clear enough definition of what falls under the term "indecent"? In the lower court, two out of three judges decided that the definition of indecency was vague.

Given the history of Supreme Court jurisprudence and looking at some recent cases, there is less than a 50 percent chance that we will win the part of the case that deals with vagueness. In some ways this makes it more important as we look at all the kinds of information—AIDS-related information, breast cancer information, educational, artistic, or political information—out there, including "indecent" information.

If it is not found to be vague, it is not invalidated per se, although we will win on the First Amendment challenge. This is a challenge regarding whether or not there are more pointed ways of ensuring that children do not obtain access to certain material, while at the same time ensuring that we are not reducing everything on the Internet to the lowest common denominator.

So that is where we find ourselves in this case. Once the Supreme Court upholds this preliminary injunction, we must go forward from a factual point of view and a research point of view, but we must also go back to the District Court with real evidence of how individuals can control information and how library and information specialists can facilitate their users' control of information.

There was a real lack of understanding, both in the legislative arena and, to some degree, in the courts during the hearings. In the legislative arena we had to create solutions, and so we tried the PICS solution, a set of protocols that allows people to put ratings into browsers. Instead of being based on just one rating system, many different people could come in and give a rating, allowing people to sort through the contents and give the suitable ratings on their own.

It is up to the research community and other users of the Internet to continue to push the envelope. They need to know how to manipulate the technology and how to let users be their guide.

Perhaps the most troubling part of what comes out of the CDA case and debate is that this is just the tip of the iceberg. I will give you a few examples of what we are seeing, both from a company perspective in the online service provider world, and also from a civil liberties perspective, regarding content control.

For instance, you are all aware of the intellectual property debate. It is certainly not the same as the government putting limits on the content of the things people can or cannot produce, however, content control issues are similar in many ways when viewed alongside intellectual property issues. They both deal with taking a traditionally commercial construct and applying it in a largely non-commercial environment, and deciding afterward who owns the information and how it will flow. The initiatives that have been put forward by the Administration lead to some of the same questions dealing with understanding the way this technology works and the things that can be done with it, and coming up with a top-down, governmental approach. But this approach is not the right way to go, especially because this technology opens up a new universe of information for everybody in the world.

There are several other issues that I would like to address in order give you an idea of the potential problems in these areas. Recently there was a two-day session at the Food and Drug Administration (FDA) where they brought in representatives of drug companies that are putting information on the Internet for a roundtable discussion. The discussion, attended by a thousand people in Silver Spring, Maryland, was initiated in order to talk about how the companies will control the kinds of information that are on the

Internet, both that which is put out by drug companies and also that which is coming up in chat rooms. The question is, Is there information available that is not reliable, and if so, whose liability is it?

From listening to the questions the representatives from the drug companies were asking, it seems to me that it is not the FDA that is initiating these regulations, but the industry itself. This is an industry that is completely unaware of what the available technology does. They think it is a great thing to have a web site and a chat room, but they do not think about all the different issues that present themselves, or their possible responsibility for them. The companies want to be told what is considered labeling, what is advertising, what kinds of information they need to make available, and whether a product is considered an over-the-counter drug or a prescription drug.

Some of the same issues that were raised with the CDA will be raised in these FDA discussions, especially regarding international companies, over whom we have no jurisdiction. We cannot control information about drugs that may be approved in other countries but are not approved in this country. So, both in the regulatory arena and in the congressional arena, people are thinking about these other factors.

These outside factors are gaining attention partly as a response to both the TWA crash and the Oklahoma City bombing. There were several amendments that were more or less defeated on the Senate floor that proposed to control bomb-making information on the Internet, even if it was a Department of Agriculture publication about blowing up tree stumps. Every time a story hits the front page of the newspapers, Congress or the regulators come in and immediately want to do something about the situation. Given that, we are lucky to have judges like those who tried the CDA case and who spent as much time as they did learning about the Internet, especially since apparently Congress is not willing to take the same time to educate themselves.

Another area, for example, is privacy. At America Online, we certainly take this very seriously. We have some very strict policies about how we collect information, what we do with that information, and what kind of notice we give to our members about what we plan to do with the information, such as whether it is kept private or sold. These issues are also being looked at by Congress. There are several bills currently pending.

Interestingly, what we did with the Federal Trade Commission (FTC) was to go in as an industry and as a set of civil liberties groups and make it clear that we are concerned about privacy. We would like to develop technology like the PICS technology that will essentially allow people to have some control when they surf on the Internet. Thus, if the web site that a person would like to access does not maintain the same privacy practices that he has indicated in his privacy preferences, he will not be able to go there unless he undoes that block in the preferences. We are in the process of developing that kind of technology, both for the Internet and for proprietary network services like AOL

At the FDA hearing, someone from the FTC said that he wished people would focus more on the technology. Through the CDA process in June of 1996 we found that we need to learn about the technology and then figure out whether there is something that a government agency can do. We are still engaged in an education process. Information specialists come out of the environment that developed this technology, and which is leading the development of the technology into the next century. If the CDA case can serve an instructive purpose, it is that you must participate in continuing to inform members of Congress and the public at large about the issues, and also about how important it is to preserve the protections of the First Amendment.

People do not understand how easy it is to communicate, how easy it is to participate in our democracy, and how easy it is to get ideas out and to learn a lot about what affects their lives. This is especially true because only about 14 percent of the American public is online. As more people understand this situation, they will appreciate the First Amendment issues. Hopefully it will not be too late.

QUESTION AND ANSWER SESSION: MS. LESSER

MR. CAMPBELL (University of Southern California): I have a question for Jill Lesser. I know that AOL is one of a group of companies that sometimes get caught in the crossfire between competing values. One example of that would be the difference in valuing information for its use in discovery of knowledge as opposed to valuing information for its economic value. And you get caught right in the middle of that, or at least you can if the law turns a certain way.

MS. LESSER: That's right.

MR. CAMPBELL: Does AOL, as a company, debate within its own walls the value issues, or do you really only look at the legislative outcome which then would dictate how you would have to go from there?

MS. LESSER: We actually spend a lot of time talking about the value issues. As I mentioned earlier, I have only been at AOL a short time, but I have already been involved in about five or six meetings with high-level people thinking about these very issues, because, although we are obviously affected by legislation and the regulatory environment, our business cannot grow unless we are true to our users.

So we certainly look at things from an economic perspective in terms of other business opportunities, but the core of our business is obviously our users. Most of our users, especially at this point in the development of the Internet and online services, are fairly sophisticated. So we have a huge incentive to do this right, from our users' perspective, and we therefore spend a lot of time talking about it; I will tell you, there are no easy answers.

A good example is the lawsuit in which we are now involved regarding spamming, which is when companies essentially go in our files and harvest AOL e-mail addresses and screen names and then send out all sorts of commercial information to our users. They basically make it look like AOL has either endorsed or sent the information, which is a big trademark problem, or they simply clog up our systems. We get about 5 million e-mail messages a day. At one point, approximately two million unsolicited e-mails were coming from the company we are in litigation with. When we tried to block those e-mails, they claimed that we were violating their First Amendment rights because we were essentially providing a public forum and an e-mail platform, and we therefore had no right to block the e-mail addresses.

A judge issued a temporary restraining order, which has now been lifted, mostly because of the technical arguments that say that this company clogs up our system, thereby preventing our members from being able to use our services, regardless of whether we agree with the messages that are being sent or not. So what we are trying to do, frankly, as an answer to the litigation problem and the technical problem, but also in order to create a good environment for our users, is provide a technical solution that will enable users to pick out certain domain names from which they do not want to receive e-mail. With the users making the decisions, AOL will not have to face those kinds of problems.

(Audience Member): Jill, how is AOL handling the new, very aggressive campaign in which the Software Publisher's Association is engaged?

MS. LESSER: With fear. Well, let me give you a little bit of background. The Software Publisher's Association over the past couple of months—and I'm not sure exactly when they started this—essentially decided to send out to all ISPs—or what they deemed as such, though it's not clear to me that they've gotten everybody—a sort of contract that says that they would monitor software piracy. So, really, you are pressured to sign this document as your statement of responsibility for the activities of software piracy that take place, essentially, over your network.

A surprising number of interactive service providers actually signed that document, I think largely out of fear. Most of them are small enough operations that they don't have legal counsel and they certainly don't have time to spend getting legal counsel. Some did not, and several of those organizations were sued last week by the Software Publisher's Association for copyright infringement and basically for participating in software piracy.

AOL has not signed the document and has not been sued, but certainly knows that, potentially, we can be sued. We certainly have had incidents with people calling our legal department and telling us, for example, "I have been monitoring this; I know there is someone who set up a chat room on AOL and is essentially sending my software between members. You have to stop it." Our response has been that, although we have not agreed to shut down any chat rooms, if we do have information about illegal or inappropriate activities, we will try to stop them.

We don't have a firm policy yet, but, in answer to your question, we are struggling with these issues. Under the Electronic Communications Privacy Act, we cannot monitor the contents of e-mail, so we are, as Texas A&M is, existing on a complaint basis for now. It is the same way, really, as we found out and responded to the spamming; we didn't go out there and monitor why there was so much e-mail traffic, and then find out that it was coming from essentially one domain. We waited until we got hundreds, if not thousands, of AOL subscriber complaints and acted as we had to.

Obviously, we have been very involved in the legislative and international fight with these problems. I think that, as a company, we are hoping to get some guidance from legislation in this area, because otherwise we're going to basically be floundering for a long time. It has a very difficult set of issues.

DEVELOPMENT OF ENTERPRISE-WIDE INFORMATION POLICIES

Frances Groen, Director of Libraries
McGill University

In June of 1995, I reported a short case study in *College and Research Libraries*, and, as a result of that, I was asked to come and speak with you today. The report described the McGill Library experience in challenging a Suppression of Information order, which came about from a legal gag order in a murder trial case.

I will briefly describe that case study to you, reflect on it even more briefly in light of the Communications Decency Act (CDA), and then talk about a few constitutional differences between Canada and the United States that are reflected in some of the decisions.

First, the case study. In the spring of 1994, McGill University reacted to a publication ban regarding the details of a murder trial. In brief, the circumstances were as follows. A grizzly multiple murder case came to trial in Ontario in late spring of 1993. Two separate trials of a husband and a wife, both accused of these murders, were to occur.

Prosecutors had to guarantee that the evidence presented in the first trial, that of the wife, Carla Homolka, did not influence the subsequent trial of the husband, Paul Teale, which was scheduled for approximately 18 months later. For this reason, Ontario Justice Francis Kovacs imposed the following gag order on July 5, 1993:

> There will be no publication of the circumstances of the deaths of the victims referred to during the trial, and they shall not be revealed directly or indirectly to a member of the foreign press.

While allowing reporters into his courtroom, Kovacs sought to limit severely any details in the media. Foreign press representatives were banned completely from the courtroom, since the court ruling could not control publications outside of Canada.

As a reminder of the ban (and an indication of the seriousness with which it would be taken) the Ministry of the Attorney General of Ontario issued a news release December 2 of that same year, five months following the original ban, stating that the Ministry was continuing to apply its policy of review and that it viewed any such potential breach of the publication ban most seriously.

These restrictions had implications for libraries. They required that librarians focus on the issue of dissemination and publication with respect to printed and electronic information in light of the court order. Although issues of publication and dissemination of information arise daily in the work of librarians, the ban created an environment in which the differences between publication, dissemination, and possession of information needed to be defined more precisely. Universities, especially those at which the computing center acts as a feeder for newsgroups over the Internet, formulated institutional policy and created precedents.

In the case of McGill University, a clear distinction evolved between the active dissemination of the news by the computing center and the mere possession of it by the libraries. The university's computing center first reacted to the availability of a news discussion group, called <alt.fan.carla.homolka>, believing that the provision of this service constituted a violation of the publication ban. An interim decision was made to withdraw this newsgroup, pending a legal interpretation of the university's responsibility. This decision was made on the basis that the Ontario court ban was considered to reach

outside that province to us as the result of federal jurisdiction over the administration of the criminal justice system.

Many people on our campus became very, very angry at what they felt was censorship and interference with their inherent right to information. Some still remember this and are still very angry. But, in the opinion of McGill's legal advisor, by failing to observe the ban the university would have been punishable for a criminal contempt of court charge. The legal advisor also developed a working definition of "publication," which, in the case of the court ban, meant dissemination of information to any number of individuals in whatever form and through whatever medium.

Since the university policy to ban the newsgroup was confirmed to be not only proper but also mandatory, it became essential to have legal advice on the appropriate action to be taken by the libraries. For instance, when a Montreal newspaper announced that the *Washington Post* would be publishing the details banned by the Ontario court, it was essential that the library administration formulate a staff policy for dealing with printed materials. During this process, the McGill libraries operated responsibly within the law. What they did not do was to jump to the conclusion that merely receiving printed publications in the normal course of activities was a criminal act. The concept of publication and distribution, implicit in the decision regarding the withdrawal of the newsgroup by the computing center, was not assumed to transfer directly to library policy. In formulating an appropriate library response, all issues, both practical and philosophical, were examined.

Several factors helped to shape our policy. One was that the variety of institutional responses received from directors of libraries in Canada indicated that there was no unified response to the distribution of the newsgroup. Further, the complexity of screening information as it arrives in the libraries, as well as the variety of formats in which information is available made it virtually impossible to guarantee that the library was not receiving material covered under the ban. Finally, we factored in the librarian's value system as expressed in the Canadian Association of Research Libraries statement regarding freedom of opinion and expression of ideas.

We therefore welcomed the advice of McGill's lawyers. In their opinion, there was a prohibition against publication and distribution of banned material, but not against mere possession. Placing the newspapers on the shelves of the periodicals section would not constitute a prohibited act. However, if the library or staff were to make multiple copies of the articles in question for distribution, this would be a prohibited act. Placing such material on reserve was also interpreted as a violation of the court order. Passive receipt, as a part of standard operating procedures, did not contravene the law. Theoretically, the police could come and seize the offending newspapers from the shelves. This would not mean that we had acted in breach of the ban since, on a practical note, it was virtually impossible for us to monitor the content of each and every periodical. The resulting library policy satisfied librarians, administrators, and almost all users who were aware of the controversy.

This all took place two years ago. Because our sensibilities had been greatly heightened by the incident, we followed the progress of the Communications Decency Act in the United States with great interest. The purpose, as stated in the amendment, was to provide protection against harassment, obscenity, and indecency to minors by means of telecommunication devices. This amendment was aimed at all participants.

Everyone here is also aware that the three-judge panel at the U.S. Court in Philadelphia ruled that the Internet is the most participatory form of mass speech yet developed, and deserves the highest protection from government intrusion. The panel went on to declare the CDA to be profoundly repugnant and an affront to the First Amendment, stating that the Internet deserves at least as much protection as printed materials. The Citizens Internet Empowerment Coalition rejoiced when, on June 12, a tribunal of federal judges granted the injunction. Citizens in both the U.S. and Canada welcomed the victory for free speech.

Although the defeat of the Communications Decency Act has no legal significance for Canada, it should prompt information professionals on both sides of the border to consider carefully some of the differences between our two cultures and our two constitutions. Under the Bill of Rights, the U.S. Supreme Court faces the nearly impossible task of reconciling the demands of collective life with a constitutional guarantee that acknowledges few, if any, restrictions on individual liberties. Individual rights become near-absolute entitlements under the First Amendment's prohibition against abridgment of the freedom of speech. Any curtailment or restriction of this right must be on the basis of a discreet, isolated exception, rather than a limitation that may legitimate other such exceptions.

In Canada, under the Canadian Charter of Rights and Freedoms, some guarantees are qualified. A layperson may speculate that Canadian drafters of the charter looked at the vagaries of litigation spawned by the American experience and determined to impose certain restrictions on a Canadian rights guarantee. But such a hypothesis would ignore more fundamental cultural differences between our countries. It is a temptation here to indulge in political philosophy regarding the differences between a republic and a parliamentary democracy and the extent to which this impacts the guarantees of individual freedoms. However, censorship is equally odious in both cultures. The American attitude is deeply rooted in the idea of popular sovereignty, resting on a belief that the people, not the government, possess the absolute sovereignty.

The courts of the U.S. must continue to answer the question of whether the First Amendment means that government has no power to restrict expression because of its message, its ideas, or its subject matter, whereas the Canadian charter recognizes two distinct concepts, one of individual entitlement and one of state justification. Bear in mind here that the Canadian charter dates only from 1982, and, given that, it is said that charters tend to create competitions between and among rights. Perhaps that is why we see tension between the individual entitlement and state justification in our charter.

In the application of free speech law, the Canadian charter has mainly phrased questions in terms of constitutionality. It has not focused on individual situations the way that the U.S. Supreme Court commonly does when deciding whether laws are unconstitutional in their application to particular facts. Perhaps partly because they are beginning with a clean slate, the Canadian Justices have written opinions that explicate large domains. The Canadian Supreme Court is developing a distinctive balancing approach that avoids relying much upon categorical analysis. That approach leads it to sustain some measures that would probably be held unconstitutional within the United States.

The Supreme Courts of both countries see the guarantee of free speech essential to liberal democracy. Canadian legal rulings often discuss American cases, but do not import American doctrines. American decisions, though, pay little attention to what is happening in Canada. However, this may well be changing with legislation governing free speech over the Internet as the need to deal with the international nature of telecommunications and the flow of data across national boundaries is met.

When Chief Justice Kovacs rendered his gag order in the trial of Carla Homolka, he determined that the right to a fair trial took precedence over the absolute guarantee of freedom of speech. It would be tragic if a similar reprehensible crime were to occur in the United States, but my brief review of the differences between constitutional guarantees of freedom on expression in our two countries does not qualify me to speculate on whether the U.S. courts would have handled a similar case in a similar fashion.

QUESTION AND ANSWER SESSION: MS. GROEN

MS. MARTIN (Georgetown University): I have a question for Frances. I am trying to get the timing right on this, but, if the incident you spoke of was about two years ago, we may have been in a situation

where it was relatively easy for the computing center to block a particular news group. But even two years ago Netscape and Mosaic were in existence; so what happened to people's access to the Internet?

MS. GROEN: One of the issues for the university, as opposed to alternative methods of accessing, was the fact that our computer center acted as a feeder; it is the computer network for the province. So we were in a position of having to delete that particular file because of our accountability for the entire network.

Does that—I may not be understanding your question fully.

MS. MARTIN: So, you presumably had students, members of the community, and residents of the province who would have access to the Internet and, therefore, access to information that was available on web pages elsewhere in the country.

MS. GROEN: You are asking if they could go through our host computer to get to the Internet? There was no control of that. They were absolutely free to do that.

The incident, though, took place in 1993; Netscape and Mosaic were not quite as ubiquitous as they were two or three years later, but they worked in the other direction. What they couldn't do was receive from us, and that was the essence of the difference.

EXPLORING ISSUES OF THE NETWORK SERVICE PROVIDER

Fred Heath, Dean and Director of University Libraries
Texas A&M University

I would like to tell you of some of the efforts Texas A&M has made to develop information policy at a local level. Information policy issues as a concern at Texas A&M had their origins with the beginnings of the omnibus Telecommunications Act, when our legislative staff began following the actions of Senator James Exon. Mr. Exon created major new concerns for higher education with his efforts to protect children from the worst aspects of the Internet. He was the chief sponsor of the Communications Decency Act (CDA).

It was obvious to all of us who followed the working of the Communications Decency Act into that omnibus bill that the tenets of academic freedom of the First Amendment were in danger from the CDA. But, worst of all, the CDA heightened anxieties in many sectors of the general population regarding abuses on the Internet. Many people signaled a readiness to join Mr. Exon in holding higher education liable for the violations of the CDA within their facilities. Populist fires were lighted at the state and local levels.

This legislative activity, as it emerged and headed toward certain passage, was one impetus for the development of information policy at Texas A&M. Another reason was the coverage given to international concerns regarding pornography on the Web. Then there was Marty Rem's headline-grabbing study at Carnegie Mellon University (CMU) and the subsequent notoriety generated by CMU's reaction to the same. This study also generated considerable interest on our campus. Furthermore, specific instances of faculty members elsewhere being suspended for storing indecent materials and of students being charged with transmitting pornography also caught the administration's attention.

But all of that took a distinct back seat to specific developments on our home campus. One of our coeds decided that the distinctly unremarkable campus architecture of Texas A&M could be "virtually" improved with her ample body. So when Shelly published her Aggie Landmark series across the Web, it was not a question of *whether* we would have an information policy, but rather *how* it was going to come into being. We dodged the bullet; it could have been by presidential edict.

The policy could have resulted from legal interpretation regarding how to turn off the .alt newsgroups, etc., as many campuses have entertained. We could have created technical interventions to shut down AOL and similar services. We were fortunate that none of those things happened and that we somehow stumbled toward a community solution, something that, in large measure, is due to my counterpart in Computer Information Services (CIS), who persuaded the President to establish a broadly-based committee to consider the issue.

We were fortunate to have strong leadership among the faculty and administration to head off short-sighted or near-term solutions. My colleague and former Associate Director, Marilu Goodyear, who is now at Kansas, chaired the committee. It was important to have in a key position a person from the library who could argue from the analog of our experiences with print over the decades. We were also fortunate to have the president of the faculty Senate, in addition to other faculty on our drafting committee. Our Student Affairs leaders were very strong, and the students who we pulled into the committee came to understand the First Amendment issues involved and contributed much to the case. Our legal counsel Mary Beth Kurtz, was also a strong advocate of First Amendment principles in this, and urged caution on the part of our Board and President. Our technical participation from CIS was also very strong and very effective.

The Committee looked to its colleagues around the country for guidance and decided to attempt to insure the location for information policy where it would reside in academic affairs at Texas A&M. As we

looked around, we saw that in some cases responsibility for information policy reside in computing or information services, or in media or public relations. But our goal was to locate the authority in academic affairs, and our committee was a provostial committee.

The final report was approved early this year and set in place the systems that we have today, a committee within academic affairs that does its work via a complaint-driven system, as opposed to an active monitoring system.

The final report enunciated a set of principles to guide future work, including affirmation of First Amendment prerogatives and the Freedom of Inquiry; a general right of privacy, as, of course, mitigated by state Texas law and federal law; and the notion of authorized use, interpreted to ensure as broad a use as possible of computing facilities and resources on our campus. I am still a bit concerned that we were too accommodating in the concept of unauthorized use; nonetheless, we tried to interpret that as broadly as possible. Then, the issues of intellectual property call for the community to understand and protect intellectual property within the context of fair use, and for faculty to undertake to understand their rights, duties, and responsibilities on the Web.

As I said, this is a complaint-driven system, and CIS was given responsibility for implementing that. Their staff was trained on how to handle complaints, and two very high-level staff members were given oversight responsibilities for monitoring the system. The system is managed on an a priori software within their system that is used to track the problems.

Since February, when complaint monitoring began, we have handled more than a thousand cases. So as you can see, just a complaint driven system occupies the full time and attention of two very high-level staffers at about a $100,000 cost for their salaries alone. Now, because of the level of staff employed, there is a significant aspect of informal intervention and mediation at the beginning in an attempt to minimize administrative follow up. But if there is no resolution at the informal level, or if the nature of the complaint makes mediation inadvisable, we follow one of three channels handing the issues off to the appropriate agency. The first could be our very effective student conflict resolution channels, which, as you can imagine, handle the gamut of student problems. The second is when, on rare occasions, we will hand things to faculty channels, such as deans or department heads. And, finally, on very rare occasions, when we must, we will resort to the use of legal counsel and law enforcement.

Since we have implemented this policy, there are several types of complaints with which we have had to contend, including the issues of "adult" materials on the Web; hate speech and harassment in all of its guises; privacy, particularly e-mail privacy; and copyright, which really isn't the dominant problem at the moment; and then, something we need to be concerned about in our populist state, commercial uses of state property.

Adult Materials

Despite continual attack, as you can see from a fairly recent publication in the *Electronic Engineering Times* about our web page at Texas A&M, most indecent materials, in fact, remain on the student servers. We are able to handle the more offensive things through effective mediation. We are able, in most cases, to convince our students that this is not the First Amendment ditch in which they should choose to die. And, by and large, they have, so far, agreed. However, we have our first large obscenity case now pending. It came directly from the outside to our campus police department, and it bears some watching; it is a concern for all of us.

Hate Speech

Our student conflict resolution structure is very well suited for handling most of these issues and has been mostly successful. I think the unfortunate part of this is that most hate speech is, in large measure, protected by the First Amendment.

Harassment

Next there are harassment issues. Included under that heading are student issues, relationship problems, personal threats, and gender issues, all of which are unpleasant things that occur all too frequently. But, again, by and large, our student conflict resolution channels take that tributary, move it into their mainstream, and deal with it as they would things from real life, as opposed to virtual issues that arise in the electronics. I think that is something we sometimes forget; we set these electronic issues aside to be dealt with, when, in fact, they are just one piece of the universe of problems that we must handle on a campus.

Sexual harassment issues are things that we take very seriously, whether they are images on screens, printouts, or unwanted and unwarranted e-mail messages. We have policies within our system, stated in our *Policies and Procedures Manual* (PPM), and we handle all of those cases quickly and forcefully.

Privacy

Another concern is privacy in general, and e-mail privacy in particular. We have 115,000 electronic accounts at Texas A&M, available to the students for the asking, and so the reality is that we have created the virtual equivalent of a public forum, an electronic town square, if you will. It is very difficult for someone caught up in that to make an argument about privacy invasion, so it is often a difficult area to handle. Of course, there are privacy entitlements under law, which we do try to protect vigorously. Whenever we can tie hacking or other unlawful entry into private materials, we can use legal resources, which are particularly direct and forceful level.

Copyright

I mentioned copyright. This week we received an interesting complaint from England regarding poetry that a professor had mounted on his home page. I bet a lot of you are encountering this, too, especially as electronic reserves are moving from the library to the faculty member's home page. That is a flaw with our policy because we don't monitor; we are a complaint-driven system. And so what is happening? Every holder of intellectual property right on the face of the earth is out there, tirelessly monitoring, and those complaints are now beginning to flood in on a regular basis.

We do take abrupt intervention when informed, and so far we have avoided lawsuits. We have managed to persuade both parties involved that these instances involving individual home pages are not major violations. So far we have avoided litigation in all copyright issues. We have been very fortunate.

Commercial Uses of State Property

Our concerns with unauthorized commercial uses of Texas's state property are externally-driven sensitivities. We are always aware of what is going on in the Texas legislature in Austin, and we actively try to avoid problematic situations. However, there are instances where we are still confronted with problems. For instance, Shelley, who was mentioned earlier, decided to move from enhancing campus structures to enhancing the landmarks of Texas. She created a calendar, so, if you want to find Shelly in front of the Alamo, there is a pointer from her student home page to a server residing off-campus where, in fact, that calendar can be ordered. This is a concern we must deal with.

Just a quick aside about the cost of compliance. I read something from Gonzaga the other day, about how it would take them six people, 24 hours a day, to monitor obscenity on the net. I don't know how large Gonzaga is, but I know that, with 115,000 electronic accounts, we still wouldn't be able to monitor the net with a staff four times that size. It couldn't be done. As I said, what we have now is computer services monitoring complaints, which requires two full-time employees of high level positions, at probably $100,000 in salary for them alone. By taking advantage of the extant Student Affairs conflict resolution

channels we have been able to handle most of the student cases that come their way without additional cost. And, more importantly, it is there that we talk with our students about issues of civility, courtesy, and common etiquette on the Net that we hope will bring the number of problems down over time.

By way of a quick summary, I would like to address our concerns. We think that we have built a fence around the First Amendment, albeit a little fence that is pretty easily scaled. There are lots of pressures out there that we feel could overwhelm us. We feel that we are vulnerable to Eagle Forum kinds of tactics; patient people who oppose what we do in higher education and who tirelessly work to tie us up needlessly in litigation and complaints. We are beginning to see some evidence of that, and I wonder if that first externally-lodged case on obscenity comes from those origins; I don't know yet.

We are untested by populist politics as yet. We are unseared by grave or sensational headline-grabbing incidents that could cause a board or others to brush aside First Amendment issues. We haven't had that.

But mostly, my biggest concern is this: that our complaint-driven system is vulnerable to a court reversal of CDA, and the chance that we may be driven into an active monitoring kind of situation in order to keep our senior administrators out of jail. It is a grave prospect that is out there in front of us and one that I fear very much.

QUESTION AND ANSWER SESSION: MR. HEATH

(Audience Member): Fred, you mentioned that you have two full-time employees who handle over a thousand complaints; that was surprising information for me. Is this going on in universities around the country? Are we seeing staff at that level? Are you seeing that level of complaints?

MR. HEATH: I don't know how many of you have staff assigned. I do know that in those occasions where we have encountered a colleague in a similar situation, the numbers have not surprised them.

What I would like to think is that our ability to get complaints, however minor, in front of conflict resolution people is why we haven't had a major headline-grabbing incident.

ARL will publish a SPEC Kit soon, hopefully this week, on the development of institutional information technology policies (Shirley Leung and Diane Bisom, SPEC 218: *Information Technology Policies*, Oct. 1996).

PROGRAM SESSION III
COMPARING NOTES ACROSS THE INSTITUTION: COMMENTS AND DISCUSSION WITH CHIEF ACADEMIC OFFICERS

INTRODUCTION

Douglas Bennett, Vice President
American Council of Learned Societies

When considering this panel, I found myself thinking about Tom Wolfe's *The Right Stuff*, where, in the beginning, the test pilots with the "right stuff" are very sophisticated and in control, but, as they become astronauts, they realize they are going to be strapped into the nose-cone of a rocket and completely out of control. I wonder if something like that is happening in research libraries. That is to say, research library directors were once in control, steered their libraries, and felt like they were taking them in new and fresh directions. Increasingly, however, library directors are wondering, "Where am I being pushed; where am I being taken?"

So, we thought that, in a situation where almost everybody feels out of control and feels that somebody else must know where we are going, it would be very useful to have a collective conversation among some chief academic officers and research library directors, not only to hear different points of view, but also to have an opportunity to discuss what we have in common, in order to discover which direction to go from here.

Each of the academic officers will be introduced by their library director.

FOUR ACTIONS REQUIRED FOR THE PUBLIC TO REINVEST IN RESEARCH UNIVERSITIES

Martha Gilliland, Academic Vice President for
Information and Human Resources
University of Arizona

INTRODUCTION BY

Carla Stoffle, Dean of Libraries
University of Arizona

MS. STOFFLE: It is my pleasure to introduce Martha Gilliland, the Academic Vice-President for Information and Human Resources at the University of Arizona.

Prior to that, she was the Interim Vice-President for Research, and Dean of the graduate college. Before that she was a faculty member at the University of Nebraska and at the University of Oklahoma.

She has a Ph.D. in Environmental Engineering from the University of Florida, and on our campus she took leadership in our Continuous Organizational Renewal Program (COR). She was a leader in training with the Pew Roundtable to our campus and is carrying on the Pew ACE Project on the development of department heads as academic leaders.

She has a Pell Grant for leadership development for the campus, and a grant from the university administration for faculty development to allow her to introduce new technologies that change the way we teach. She is also on the Arizona Steering Committee for the Western Governors University. After only a few years of being in this role, in 1996 Arizona received two Governor's Awards for Excellence and Quality Management.

She received the 1995 Association of American Universities (AAU) Exemplary Models of Leadership Award for the Transformation of Higher Education; and, in 1994, she received the Governor's Award for Excellence for Total Quality.

And so it is with great pleasure that I introduce Martha and her insights on what needs to happen in higher education.

MS. GILLILAND: Thank you, Carla. When Duane told me about this panel, he said it would focus on actions research universities need to take in response to internal and external changes, answering the question, "What will cause the public to reinvest in us?" And so we need to think ahead as well as have a conversation about what we have done in the past that has made a big difference in order to find those key things that will cause the public to reinvest in us.

In my opinion, there are four things that are absolutely catalytic and key to success over the next few years, and they transcend the way we tend to think about universities in terms of what needs done in the teaching, research, and service arenas. We should stop thinking about those distinctions and instead think much more broadly. We need to develop strategic partnerships, embrace technology, and reestablish trust, and to do that we need a different leadership style that, in fact, accepts and even embraces the fact that things are out of control, and uses that fact in a creative way.

Developing strategic partnerships.

I want to make a real distinction between any concept we may have of corporate relationships or contracts, and really think about strategic partnerships, where both parties have something major to gain from the partnership.

A recent example of a corporate partnership is one we entered into with Lucent Technologies, a systems and equipment company that came out of the AT&T divestiture. Lucent wants to be a leader as we move toward a multimedia environment in businesses, on campuses, and in homes. In order to do so, they need a high-speed, high-band width, multimedia, interactive capability. But no one has the proper solutions, protocols, and interfaces to go with everyone's different equipment, and to create them is expensive.

At the University of Arizona, we have the same goals as Lucent has, both for our campus and in our relationships in the state. So, a strategic partnership between the University and Lucent will allow us to better achieve those goals and still both be successful. It is just a matter of finding the places where you actually have something to gain by working together with a partner. We need partnerships with corporations, government, K-12 schools, etc., in addition to within our own universities, in order to transcend old barriers.

Carla mentioned our department head and faculty development efforts. They are special arrangements that relate our central administration directly with our department heads in a real alliance. Some of the deans are struggling to understand its value. But, in truth, as they have seen the creativity that it is bringing about, some of that fear is going away.

In many ways, the whole idea of the Western Governors University came about because universities and community colleges may consider these relationships as a cause for concern and a call for them to protect their turf, rather than as a collaboration. Yet, every single person in this room represents a university, and we are able to work together and discuss accepting each other's courses and what have you. So I absolutely believe that letting go a bit of the turf is what in fact will bring us more power. Because we have, in fact, a trust problem with our public constituents, and we will not fix that problem until we give up some of the things that we think we are protecting.

Embracing technology.

When technology is discussed, there are certain comments that tend to come up. You can hear, "We have to be careful how we use technology," "We need to make sure the technology is used appropriately," and the question, "Are we really gaining in terms of learning outcomes, or are we just dealing with this because technology is popular right now?"

Right now there are a huge number of technological developments. At the recent Educom Conference the entire subject for discussion was Internet2, a concept which is based on the need for research universities to support the exchange of information, and the recognition that the current Internet setup is not capable of supporting the types of exchanges that universities make. We need to embrace these developments. A multimedia environment, a multimedia interactive capability, is going to change things dramatically. And, although we are all struggling with creative services data integration, where each department has its own databases yet the administration is constantly missing and isn't able to get the proper data, we will have some breakthroughs in that arena.

The solution is to not wait. But because no one knows quite how to do these things, we need strategic partnerships to start down the road in small steps.

Reestablish trust.

One of my favorite quotes is by Abraham Lincoln: "With the public trust, anything is possible. Without it, nothing is possible."

At least in public institutions, we don't trust that our students will graduate in four years, that they will get career counseling to relate jobs to their majors, or even that we are spending money wisely. At private institutions there is the concern about tuition costs and whether people are getting their money's worth. Within our universities there is mistrust among sectors, frequently between the administration and faculty.

Carla has opened up the library, and in many of our other areas at the University of Arizona we have completely opened up the structures, eliminating a whole layer of middle management and replacing it with a team-based organization. And in the library they have formed a real trust relationship with the customer via feedback they receive twice a month.

Probably the key thing to reestablishing trust is achieved not by protecting information, but is the result of allowing everybody to have access to the data, instead of worrying about whether they will misinterpret it. The right interpretation will come when the dialogue occurs.

Changing leadership.

Lastly, we need to adjust and, in some cases, change rather dramatically the way we lead, both in libraries and in institutions as a whole. We need to give up the notion that, because we have a good education and a lot of experience, we could actually understand precisely where we ought to go and what steps will take us there.

I don't think one can ever understand how a university works. We should quit trying to, and instead we should take responsibility for putting a vision out there, the guiding principles or intentions; this is where we need to go to achieve our goals. We need to form partnerships, reestablish trust, and embrace technology. We then need to allow everyone to interpret as they choose, and, through dialogue, support what people see and what people want to do.

It feels terrible because you give up control. Others see things you would never see for yourself, but, if you let them come forward, while requiring accountability, amazing things can happen. A particularly successful example at the University of Arizona is in our faculty development effort between the library and our computer center. I would have never believed it could come out this way. There were several times along the way when people wanted to do things I thought wouldn't work, but they saw things I didn't see, and they did work well.

So that is what we need to do—develop strategic partnerships, embrace technology, work on trust, and let go of thinking that we have all the answers. We do need to present a vision as leaders, but not necessarily point out the specifics of how to get there.

Thank you.

LEGOS AND NEW MODELS: TRANSFORMING, REFOCUSING, AND REALLOCATING

Mark Emmert, Chancellor and Provost for University Affairs
University of Connecticut

INTRODUCTION BY

Paul Kobulnicky, Director of Libraries
University of Connecticut

MR. KOBULNICKY: I am pleased to introduce Mark Emmert, the Chancellor and Provost for University Affairs at the University of Connecticut. It was Mark's arrival about a year and a half ago that prompted us to move from a Vice-President for Academic Affairs model to a Chancellor model. So, although Mark reports to the President, all other aspects of the University report through Mark, which gives us another opportunity to get synthesis going with respect to all programs at the University of Connecticut.

Mark came to us from Montana State University, where he was Provost. Before that, he had several positions in Colorado, among them, Associate Vice Chancellor for Academic Affairs at the University of Colorado, and Assistant to the President of the University of Colorado.

Mark did his undergraduate work at the University of Washington and then earned his Ph.D. in Public Affairs at the Maxwell School at Syracuse University.

From a personal perspective, Mark has brought an incredible amount of energy, vision, and humanity to the University of Connecticut. He has started us off on the kind of programs and processes that are critical for change.

We are looking forward to really great things happening in Connecticut.

MR. EMMERT: I will take a path slightly different from the conversations that have been going on here today, and that is to move from the broad and philosophical down to the relatively specific. I'll give you a mini-case study of one institution that is in the midst of grappling with all of these issues by talking a bit about what is happening at the University of Connecticut.

About two years ago, a new Board of Trustees was put in place, and they set as their goal the establishment of the University of Connecticut as one of the finest public research universities in America.

That immediately prompted an interesting debate: What in the world does being "the finest public research university" mean today? Many people were on the verge of laying out a great vision for creating a perfect university, but according to a 1970s or 1980s definition.

The question, "What does the great public university look like in the first half of the next century, instead of in the second half of the last century?" changes the debate about what we are trying to do a great deal. Over the past 20 or so years, if you said you were going to make a serious incremental set of developments in the university, we would know what that meant. We would have done a sort of Lego-block additive construction, focusing on quality, and building more and more of everything. But now, of course, to say that you are going to try and build or create one of the best research universities in the country, you need a new model, because you are really talking about transformation, reallocation, and refocusing.

At one level, though, at the University of Connecticut, we are still building with Lego blocks because of something quite extraordinary that happened. We launched a legislative strategy to rebuild a very tired infrastructure and to address some of the technology issues that Martha and everyone has been raising today. We invented a program called *UConn2000*, went to the legislature with an absolutely ridiculous notion and said, we want capital funding guaranteed for ten years, and we want no less than a billion dollars. And, to our absolute amazement, they agreed.

We now have an extraordinary opportunity to invest $100 million each year for the next ten years. It provides us with an exceptional, extraordinary, and, in some respects, quite unbelievable opportunity for a public institution to think about capital investments years from now and to know that the money is going to be there to do it.

So, with Paul and all our campus colleagues, we will spend about one-third of the funds on new buildings, and about one-third on renovating old buildings. The final third will be earmarked for instrumentation, telecommunication, and infrastructure investments.

So, we actually do get to keep working with Lego blocks, which is perhaps the easiest part. What we are also trying to do, though, is to engage in systemic reforms of how we do business, what we are, how we educate, how we conduct scholarship, and how we perform outreach and other services. That's the really hard part. Then, of course, bringing the physical and the programmatic elements together is both challenging and great fun at the same time.

I am fond, and Paul is probably tired of hearing me saying it, of talking about the notion of the tyranny of our traditions in the academy. I like the term or I wouldn't use it so much. It seems to me that we in the academy have a fixation on the means and the mode of doing what we do at the expense of what we are trying to accomplish, of our relationships with our communities and our citizenry, even of some of our values, and surely at the expense of some of the trusts that our patrons, supporters, and citizens have given us. Let me personalize that a little bit with two very brief stories that are perfect case studies in comparison and contrast.

About a month ago I was asked to give a presentation to our Foundation Board. They had heard about our budget problems. We have a billion dollars in capital and we have about a $15 million operating deficit this year, so we are going to have wonderful but empty buildings here pretty soon. That's not a joke.

We are struggling on the operating side while moving forward in other areas. So, I went to the Board and I did what every chief academic officer does, I whined about the three- percent budget deficit and hoped they would save us.

I went through my speech, and I thought it was pretty darn good. But, as I did, a good friend of mine who is on that board, and who is also a very successful owner of a construction company, was getting madder and madder, with all the wrong body language coming out. He finally sat up and said, "Mark, I want to understand this. You have a three percent operating deficit." I said, "That's right." I was thinking, "Good, he got the message."

And he said, "You have control over what you do, how you do it, who does it, how much you pay the people to do it, who will take all those classes, when they take the classes, and what you are going to charge them for it, yet you can't figure out a three percent budget deficit?"

He was absolutely beside himself that we couldn't manage what to him was a manager's dream.

A few days later, I was having a meeting with one of the department task forces on program assessment in order to figure out how to make the department better, and to do some trimming and pruning, like many people are doing. But, in the midst of this conversation, one of our better department heads said,

"There is no point in engaging in this process." I asked, "Why?" And he said, "Because, what if, out of this process, you came to me and said, we need to do this and this and this. I can't possibly do any of those. I have no resources." I then asked him, "What do you mean you have no resources?"

He has 40 faculty members, two buildings, about a dozen post-doctorates, and I couldn't even begin to count the number of graduate assistants. And he is a very bright and able guy. But in his mind he has no resources because the only way he could think to solve a problem was by getting something new to address the problem. The notion of simply reallocating anything—money, people, time, technology, or a physical plant—was a complete disjuncture for this department head.

So, on the one hand, my Foundation Board manager friend doesn't understand why I can't deal with a three- percent deficit, while on the other hand a department head was telling me that he couldn't deal with improvement because he has no resources. It was a perfect juxtaposition.

So the question for the University of Connecticut, and for all of us, is how to deal with this tyranny of our traditions, and how to engage in cultural change. One point where I disagree with some people is that I think settling on the huge vision of the future and then moving everything forward in lock-step is a recipe for paralysis. We need to carve this problem up into manageable pieces and processes to engage in and think about so, when we move forward, it will have a catalytic effect, triggering other reactions inside the institution. Let me briefly give you a couple of examples.

First of all, we decided that in order to make some of these changes happen at our university, we had to have a more facile, responsive, and integrated managerial structure at the most senior management levels. One of the things we did right away, with the President's and the Board's support, is that we actually gave control over the budget to the academics, placing the chief financial officer under the chief academic officer. So when we talk about financial decisions, we consider the academic implications, and vice versa.

We are almost through with a task force on changing the way we allocate resources, trying to move away from incremental budgeting and toward a much more responsibility-based management model, one that promotes innovation and risk-taking.

We also need to recognize the blurring of the marketplace for educational products, and how it affects our students. It is getting more complicated. The advent of technology is changing it, and I believe we will see a rapid segmentation of that market. Up until the advent of technology and distance-learning delivery, we were able, relatively, to force site-bound students to mold themselves to what we had to offer because they didn't have a lot of other options. But they are rapidly getting lots and lots of options. What we are going to see is dramatic market segmentation of the educational marketplace, and there will be many types of students who will respond to people who are willing and able to provide them with educational services.

One of the things we are trying to do to get at that problem has to do with our five regional campuses. We have tried to transform them around some of those market-demand services. We need to make those services much more flexible, and we hope to make the campuses places where we can experiment programmatically, administratively, technologically, and in the way we deal with different segments of the market. We are trying to integrate our physical setting with our programmatic activities through the facilities master planning process in which we are now engaged. We are trying to sharpen our focus on research in graduate education. Every one of us knows that the world is awash with mediocre graduate, particularly Ph.D., programs. The old model believed that a proliferation of Ph.D. programs made a university comprehensive and great. It is a very bad model; it consumes resources, and, in some cases, it is even intellectually dishonest. We have to find some way of addressing that. I think it will be one of the hardest debates at our university.

We need a more comprehensive approach to information technology management and to better define what that means. We have intentionally lagged behind in this area because, until we get a better sense of

where we want to go and what this great university of the future looks like, we don't want to start shaping new models of what information technology will look like. Therefore, we have made a semi-conscious decision to let a few others of you blaze some trails for us. We have conceded that we want to be on the leading edge in some areas; in others we don't. We are quite happy to let other universities experiment. That is one of the interesting notions that comes about when working with associations like ARL.

Thank you.

TECHNOLOGY AND THE FUTURE OF INSTRUCTION AND LIBRARIES

William F. Prokasy, Vice President for Academic Affairs
University of Georgia

INTRODUCTION BY

William G. Potter, Director of Libraries
University of Georgia

MR. POTTER: It is my pleasure to introduce William Prokasy, Vice-President of Academic Affairs at the University of Georgia.

Dr. Prokasy is responsible for all the colleges and schools at the University of Georgia, plus he has direct administrative supervision of other academic units, including computing and, of course, the library.

A graduate of Baldwin Wallace College, he holds a Masters degree in Clinical Psychology from Kent State and a Ph.D. in Experimental Psychology and Statistics from the University of Wisconsin-Madison.

He served on the faculty at Kent State, was Dean of the University of Utah, and then became Dean of Arts and Sciences at the University of Illinois, before coming to Georgia in 1988.

He has served on numerous professional boards, including at the Psychology Association, and has just completed a term on the Board of Directors of the Center for Research Libraries. He has authored four books and over 70 journal articles.

I would like to mention that, at the University of Illinois, Bill worked closely with Hugh Atkinson, a librarian who had a profound impact on many of us here today and with whom I worked for seven years. The values Hugh has expounded regarding the benefits of giving support to libraries have influenced Bill in many ways that have helped my library nearly every day.

All in all, I consider myself extremely fortunate to have one of the most library-friendly chief academic officers you hope to find. Bill Prokasy.

MR. PROKASY: I will begin by addressing a couple of the questions that were put to us by answering them as generally as possible. One question was how to justify greater public and private investments in higher education. Both Martha and Peter Magrath dealt with that a bit. I would like to add one thing, though. At a public university, the most important thing we can do to convince the citizens of that state and the legislators to invest in us is to convince them that, if their son or daughter attends our institution, he or she will be well taught. I firmly believe that. I see evidence of it when we deal with the legislators and the citizens groups; they are amazed to hear discussions about what is going on in the structure, and ultimately that is where we will get our support.

Another comment is on the influence of the transformation of scholarly information on academic programs and on approaches to faculty reward and tenure. In thinking on this question, I consider the potential impact of information technologies, including the uses and role of libraries, to be absolutely revolutionary. Our instructional programs will be highly interactive among students and faculties, and education will be more individualized. Technology is able to provide access broadly and in many ways which, before now, were simply unavailable.

One of the most important impacts that this revolution will have is the emphasis it will place on learning rather than on teaching. Students will take a stronger role in their own education than they have in the past. This is what technology enables. It emphasizes access, information integration, and organization. It doesn't emphasize knowledge in the traditional sense, but it does give us a framework from which we can teach ourselves how to find out things we want to know.

To answer how the technological revolution has affected faculty reward and tenure decision, I would have to say that there has been limited change. We can see some differences. We see, for example, more evidence of pedagogy being part of a promotion tenure package than we did ten or 15 years ago. We are gradually changing the allocation profile of our institutions. Far more funding is going into technology and technology support, even though the number of faculty and other support staff may have remained constant, and perhaps even decreased. In our own case, for example, these changes have taken place, but over the last eight years our student enrollments have gone up 17 percent. The number of faculty has stayed roughly constant, but the new money we have received has gone into providing the infrastructure support that has been talked about here, so it is really changing the way we conduct our business.

I don't think we are going to see an immediate impact of technological change on faculty reward and tenure; it will remain limited until we finally discover and act on the fact that publishing houses are simply irrelevant to scholarship. We have a different kind of future in front of us, and, even though I don't know where it will go, I don't see publishing houses as being the most important element in tenure. Unfortunately, they are the most important element today, and it affects our tenure decisions deeply. I think we ought to change that, but we will see what happens.

I think what is important that relates to faculty is "reward." We will get more impact, more out of our faculty, and more interest from our faculty by the climate that we create on our respective campuses. What I mean by a climate on campus is an operating mode that says that faculty roles are important. How do you do that? You provide opportunities for faculty to do things. You set up curriculum-change support grants. You provide competitive grants for international program development. You set up competitive grants for computer-based equipment support for courses of instruction. If you put enough support into efforts like these, the faculty will begin to believe that they are taken seriously, and that will effect change.

In the first place, faculty change what they do. In the second place, what they do begins to influence promotion and tenure decisions. At the University of Georgia we created a climate with a set of discreet acts that are seen as interrelated. In the long run this climate will make a difference when it comes to the meaning of technological change in faculty reward and tenure.

I want to spend just a few minutes commenting about the Galileo Project and the statewide commitment that was made by the State of Georgia. For those of you not familiar with the project, I will first give you a brief background, and then comment about some of the results.

With a $10 million grant from the Board of Regents and the State Legislature, the State of Georgia launched the Galileo Project in 1995, linking 34 institutions to the university system. The goal was to ensure universal access to core materials for every student and faculty member in the Georgia University system, regardless of geographical location. Now Galileo also provides state access to private academic colleagues and universities, and will set aside some grant money for that. Plans are underway to extend selected elements of the Galileo project to the Department of Technical and Adult Education, the Office of Public Library Services, and the Department of Education, so it is a very broad panoply.

The menu of database offerings began with UMI products: ABI Inform, Dissertation Abstracts, and Periodicals Abstracts. The OCLC First Search files were incrementally redone to display in a customized format. Then, in 1996, a contract with Cambridge Scientific was signed. This agreement allowed users of the Galileo system access to Cambridge's server in order to search its biological, ecological, biomedical, and technology files. The pact also included the most recent five years of the National Library of Medline and Toxline Databases. A total of 45 biomedical and life science databases are now available for use.

The third, and perhaps most important, phase of this project incorporated more full text sources. While the UMI data bases of ABI Inform and Periodicals Abstracts have some full text, it was the addition of the Academic Press Ideal Package that gave the scientific community an opportunity to experiment with exploring and retrieving full text scientific journals, which were then implemented in Galileo in the summer of 1996. Now the faculty and students have unlimited access to 1995 and 1996 issues of Academic Press scholarly journals in biochemistry, biology, genetics, microbiology, and medicine. In addition, the *New York Times* and several Yale directories are also available in full text mode.

That is a substantial addition. I might say Bill Potter had an awful lot to do with these developments that are setting the stage for change in our educational enterprise. What does that mean? It offers some opportunities for the future that we are beginning to experiment with. It will be especially valuable if we build repositories of interactive course segments, whether a person accesses it on-site, in a classroom, or at home. It will provide an adjunct to individual delivery in another way, via home cable systems. I'll give you an example. Suppose you have a multiple-site seminar of people from different institutions. You will be able to have on-the-spot access to information right there, in multiple contexts. It is going to change a lot of the way we interact with one another.

I'll close with comments about some things that I believe ARL ought to think of more generally.

The most obvious impact, to me, of this new technology is that the traditional classroom is going to have a greatly reduced direct information transmission role. But it is going to be a catalyst, providing a very different kind of environment through which the students will then work to gain whatever information they need.

Obviously, libraries are going to be absolutely key to this environment, as they should be. But, how do we know what a good library is? I'm not sure that our current criteria will apply in this new format. We need to get some measures on the characteristics of electronic access, including indexes, ease of access, and cost effectiveness. We need to consider quality of service provided as a resource locator, as opposed to a resource provider. How will we measure that? Consider the extent to which libraries are actually integrated in the kind of coursework we are developing, no matter how or where those courses are offered. They now play an integral role because of the technology. Consider the differential selectivity and acquisitions of the various libraries represented in this room, where some, by virtue of having one area of expertise and organized knowledge, may be able to set up far better and more interesting data retrieval and organization systems by focusing on certain areas of knowledge, allowing other institutions to focus on other areas. Linking these together could make a greater national impact than if we try to cover all the categories on our own. Libraries will have to become far more selective.

If we are going to make good use of this technology, we will need to have good search techniques. That raises questions on how one can organize the library of the future in a way that produces really good access for what people want to retrieve.

Thank you.

RESTRUCTURING THE EDUCATIONAL PROCESS

Ettore F. Infante, Visiting Professor
Brown University
and
former Vice President for Academic Affairs
University of Minnesota

INTRODUCTION BY

Thomas W. Shaughnessy, University Librarian
University of Minnesota

MR. SHAUGHNESSY: I am pleased to introduce Jim Infante to you. Jim received his Ph.D. from the University of Texas at Austin, and then rose through the ranks at Brown University to become a Professor of Applied Mathematics.

Around 1984, he left Brown and went to the National Science Foundation as a Senior Administrator, and about four years later he was recruited by the University of Minnesota as Dean of the Institute of Technology. A few years after that he was promoted to Senior Vice-President for Academic Affairs, and that is when I began reporting to him.

A few months ago he resigned from that post, unfortunately. He is now back at Brown as a visiting professor, and is doing some special work for the National Science Foundation.

I have worked with Jim since 1989, when I went to Minnesota. At that point, he was Dean of the Institute of Technology, and subsequently I worked with him in the role of Senior Vice President. I have worked with a lot of provosts and vice-presidents in my time, but Jim Infante is the very best.

MR. INFANTE: Thank you very much for this opportunity, one in which I take a considerable amount of pleasure, partly because it has led me to reflect during the last couple of months on my experiences at Minnesota, which, as you all know, have recently been varied, numerous, and exciting.

After I received this invitation, I sat down to decide what message I would like to convey. I hope to make a presentation that is complementary to those of my colleagues here, as well as to re-emphasize a point that I have repeatedly heard in the remarks that have been made.

First, I would like to focus my remarks around four words we are constantly hearing, and that are at the heart of the matter:

Responding: Responding is a key word for this panel, which questions how the institutions are responding to the circumstances in which we find ourselves.
Renewing: Renewing is a key word in ensuring a strong and active future role for our universities.
Redefining: This is word has been chosen for this particular membership meeting, whose title and focus is "Redefining Higher Education."
Restructuring: Restructuring is what Tom Shaughnessy has been doing at the University of Minnesota library, and something that has been taking place at numerous other universities.

I would like to share with you a bit of both what I think and the data I have gathered from my five years at Minnesota. Martha recently visited the University of Minnesota as part of my presentation team,

and one of the comments she frequently made to me, and was later made in the report, is, "You people are doing too many things. Lots of things."

All of the things that we have done, some well and some not so well, at the University of Minnesota have been responding to changes and to challenges. However, at major research universities, as was suggested this morning by Peter Magrath and again restated by my colleagues in this program, our actions are something more than just responding to challenges.

Indeed, in the *Policy Perspectives* we all received for this meeting (vol. 6, no. 4, Apr. 1996) there is the statement, "We have a problem." We are responding to a large number of challenges, but there is a perception that, apart from the challenges, there is a problem. What is the problem? I would like to suggest that the universities themselves are at the center of the problem.

My colleagues have defined what we have to deal with in order to deal with the problem. In the next few minutes I would like to make a series of remarks that try to reach the center of the problem.

In a certain sense, one problem is the contrast that we as institutions are presenting to the public. There is no doubt that we have been accused of being ineffective and costly. These allegations must be addressed whether within the boundaries of research, education, or training. The contrast has much more to do with the fact that we give a perception that, in some of the activities that the public holds dearly, we are uncaring and disengaged. Bill Prokasy commented that one of the most important things that institutions, especially public institutions, have to do is convey to the public, and to the political leadership, that we are doing a good job educating our students; he is right on the mark. But before we make that statement, we have to make sure that we *are* doing a good job.

Another problem that is facing us is one on which a great deal has already been said: technology's role in the changing face of higher education. I would like to remind you that we are living in a period of extremely limited circumstances. What technology is doing at institutions and universities is providing an enormous opportunity.

I just paid a visit to an organization in California that I didn't even know existed a few months ago. They had invited me because they knew I was very interested in using technology in instruction. I spent two days with them looking at materials they were producing and beginning to beta test into the market. I was extremely impressed. I was even more impressed when I discovered that this operation of approximately 220 employees was 50 percent owned by Bill Gates, producing materials outside of the Stanford campus, yet with no connection to any university represented here. It is an organization based on some of the things Mark mentioned: competition, cooperation, a demand for excellence, and it provides a new supply of educational services.

We still operate at universities as if demand were greater than supply, but that situation has changed. The fact is that supply is everywhere, and at a discount. Furthermore, the fact that this imbalance has developed, mostly through technology, is really putting an enormous premium on quality. You must be either very good, or you will be out of the business.

So, what is at the heart of the problem for all higher education, particularly research universities, is the teaching and learning process. That is what our political leadership is concerned about, and that is what we will have to significantly work on if we are going to increase, as we must, our credibility. This is the central theorem from which a great many corollaries will fall. The way to address this is by clearly enunciating principles, making changes to implement these effectively, and using technologies to alter and restructure certain activities. I believe that libraries will play an enormous role in this.

We have to shift our perspective. We have always been very proud, especially at research institutions, of the quality of our instruction. But, it is not only a question of the quality; it is also a question of the value that is perceived from the outside. There is a developing divergence between value and

quality, where value is perceived on the outside and quality from the inside. In my dealings with the Minnesota State Legislature, they repeatedly tell me, "Jim, I don't give a darn how much time you're spending teaching or in research. What we care about is how effective your educational and instructional programs are."

The last thing I would like to mention is the challenge to structure the learning process. When discussing the learning process, one cannot help but be reminded of Marshall McLuhan's statement that the process, the message and the medium, is our product. But a student is not the same thing as a customer. Knowledge exchange is one of the most peculiar transactions that takes place. In most trades, one exchanges something solid for money in a fairly simple transaction. But the person who purchases knowledge essentially receives nothing unless she is willing to input an enormous amount of effort trying to understand that knowledge. It seems to me, that that is at the center of the problem of restructuring the internal educational process: to provide a student the means to be an investor in the process, not a customer only.

One of the things, in particular, I want to convey to you is the need for leadership in renewing the undergraduate curriculum, making sure that it is reviewed as a whole process, not as a series of separate and unrelated courses. We need to make sure, for example, that we address the serious problem we face at research universities of not appropriately socializing our students into the university learning environment. Indeed, it is an area where libraries could make an enormous contribution, for what better place than the libraries to show students how to search and look for knowledge?

Thank you very much.

QUESTION AND ANSWER SESSION

MR. BENNETT: I would like to thank all of our speakers. Now, as a starting point for these four, I ask the following very open-textured question: You hear good news from the library. Somebody comes in the door and gives you a fresh bit of information, or you read something in the campus newspaper or in a memo, but it is clearly good news. What is it?

MR. INFANTE: The difficulty I have in answering that question is in choosing among the many different things that could apply. Let me tell you, libraries are one component, along with the research enterprise at the research university, that, both at the instructional and the educational level, is adapting to technology rather well. There are many challenges to be met.

My daughter was at the University of Minnesota, and at the end of her junior year she came to my office barefoot and dressed like a gypsy, and she said to me, "You know, Dad, I spent the whole day in the library. I have decided I want to become a scholar." May I say that, after being a gypsy scholar for two and a half years, I'm not too sure what her attitude is, but the sense I got at that particular time, and have gotten repeatedly since then, is that, perhaps even more than a laboratory, the library conveys to the student a sense of what it means to be intellectually involved and engaged.

We have been talking a great deal about technology, but one of my regrets is that I see a technology that is about 500 years old, yet is not appropriately utilized except in the libraries, and, to a certain extent, in the way we are lecturing. It seems to me that the libraries are providing a central function to both students and faculty members.

One of the things that I have been struck by during my five years at the University of Minnesota is the discovery that two rather important components of the university, the faculty and "academics" on one side and student affairs on the other, are at war with each other. However, there has developed, especially at research universities due to the scholarly connection, a relationship between the library and the faculty that absolutely has to be exploited in the redevelopment of the undergraduate and graduate educational process. So, that is the key development I would hope for.

MS. GILLILAND: In thinking about this question, what comes to mind is the need for libraries to collaborate with each other in order to deal with book and journal costs. We need leadership in dealing with the publishing houses, and it is an issue that is closely related to the copyright problem. I don't know where leadership could better reside than with the people in this room, and we have to think about that, instead of worrying about what we might lose. I would really like to see that leadership and the copyright issue in the hands of the libraries.

Finally, I would like there to be partnerships on campus, making faculty librarians true partners with both the technology people and the academic faculty, working together to transform the university. However, that does mean that the faculty librarians will have to change the way they spend their time in a fairly dramatic way.

MR. EMMERT: I think my answer is very similar. I agree with much of what has been said today. I believe that it is unequivocally, inarguably true that the future of the American research institution is critically dependent upon how good we are at undergraduate education. And so I completely agree with Paul [Kobulnicky] that the library is now and plans to remain an integral part in the transformation of the learning process of which Jim [Infante] spoke.

I also agree with Jim that the probability of the library being ready and able at the forefront of this transformation is extremely more likely than the presence of any other part of the institution there. My experience both at the University of Connecticut and elsewhere is that the problem does not lie with

recalcitrance in the libraries. Indeed, I have found your profession and field quite happy to engage in that leadership role in the transformation of the learning process.

Thirdly, I would love to hear that the library has also decided to take a leadership role in the conversion or transformation of scholarly communication. Bill [Prokasy] pointed out in his remarks that publishers have little to do with the production of scholarship. I think that's absolutely true. What we don't know is what will replace publishers. What we do know is that you all will have to have some very critical role in that process. As technology transforms the nature of scholarly exchange and communication in very dramatic and possibly unpredictable ways, what will the role of libraries be? Will they become historical repositories recording what happened, or will they be in the midst of that exchange? I would love very much to have the libraries help us figure out where technology and scholarly communication will intersect, and what their role in that intersection will be.

MR. PROKASY: When I was interviewing candidates for the directorship of the University of Georgia library, the first person I met with was Bill Potter. We were discussing things one might like to see, and I said, "You know, I really would be interested in the library director who would come in one year and say, 'Here is all the shelf space I don't need, given the technology.'"

That hasn't happened yet, but I believe it will happen, and it would certainly be good news to have a far more interactive role between our coursework and the library, both of which may be tremendously different in the future. That is far different from archiving and providing access; it has a directly interactive role in the learning process itself.

To even have a classroom with all kinds of technological access possible from that classroom, and have the library resources be an integral and interactive part of what goes on in that room, too, would be good news.

MR. BENNETT: Rather than ask what bad news would look like, I invite any comments or questions that you may have.

MR. EKMAN (The Andrew W. Mellon Foundation): I think most people in this room would stipulate that this is a period of change in the libraries, in that they are now called on to work with other parts of the universities, with presses, and in finding new ways of doing business that take advantage of the newly available technology. And yet, for all the talk of restructuring, of new incentives, and of innovative reasons to be in business, it is awfully hard for the director of any one unit in the university, the library, for instance, to benefit from some restructuring, given the established procedures for budgeting.

What economic incentives are there, for example, for a librarian to digitize a big chunk of the collection and liberate some shelf space? What incentives are there for the faculty to use materials online rather to make use of the budget for summer travel to take that research trip to Europe?

Are there ways in which the academic vice-presidents are now thinking about fundamental changes in the budget to ensure that there will be incentives for different parts of the institution to in fact adopt new ways of doing business?

MR. EMMERT: Well, first of all, I think you have struck on what we at the University of Connecticut have also identified as one of the fundamental issues confronting us: that part of the behavior patterns that make it so difficult to innovate, to try new models of behavior, and to focus on new modes of teaching or learning, are, in fact, the way we allocate resources. We make it extremely risky for the decision-makers—deans, department heads, and directors—to move out in new directions.

Therefore, we are trying to move toward, instead of a full responsibility based model like Indiana's, a model that will allow administrative units to have much greater control over the allocation of those resources, eliminating the constrictions they have on the use of resources, allowing them to benefit from

whatever efficiencies and innovations they can put into the system, and allowing for sufficient slack in the system to seed some of those innovations.

So, if I got a memo from Paul Kobulnicky saying, "I've created shelf space, and concomitant with that I've freed up two percent of my budget," I would say "Great, what are you going to do with the money?" And I would want Paul to come back at me with a list of programmatic initiatives consistent with the overall direction we are trying to follow at the university, rather than for me to try to recapture the funds.

What we did do, which I hope is consistent with that spirit, although it is hard when you're trimming dollars, is tried to reframe the budget question, taking it away from thinking about it in single fiscal year increments, which is one of the tyrannies of our traditions. Instead, I have put in front of our board a four-year rolling budget that allows us to think of the budget not only in terms of what it holds for today, but also of the implications it holds for the three outyears.

Of course, as you move further out, the surety of where you are in terms of the budget gets a little vaguer. A concrete example is from this last year, when the Board came forward and said, "We are going to move forward to fund gender equity in athletics with a couple million dollars, and we are going to lead the nation in athletic opportunities for women." Who could argue with that? It is a great notion, except that everybody asked, "Well, where is the money coming from?" "Oh, it's in the outyears. Don't worry about it." And I said, "Nonsense. Here are the outyears. Show me where you think that money is coming from." It completely refocused that debate, and we wound up reducing the size and the cost of that program, stretching it out over multiple years and minimizing the impact on the rest of the institution.

So we are trying to do the kinds of things I believe you were asking about.

MR. BENNETT: Would anybody else like to offer a thought on this?

MR. INFANTE: I would like to point out that, increasingly, libraries are engaged in activities of cooperation and collaboration with each other, bringing about a kind of savings.

We in the Committee on Institutional Cooperation (CIC) are rather proud of the activities in which we have engaged ourselves. For example, Tom [Shaughnessy] has come to an agreement with the University of Michigan, to share our [Minnesota] library on Southeast Asian activities. The major difficulty in providing sufficient incentives to the libraries these days is that everything seems to be overwhelmed by the increasing cost of journals. I would dearly love to be able to say to Tom, "Tom, bring me the bill for the increase in the journal cost and we will settle that, and then we will discuss all of the rest and make sure appropriate incentives are provided." However, we are in a difficult period of time right now. In spite of that, I think there are a number of activities engaged in amongst libraries, including those internal to the university, those within the state, and those across states, with a considerable amount of payoff.

We in Minnesota, in very difficult circumstances, managed to obtain a major allocation of $38 million from the state government for an access center, for which we have agreed to be the library repository for the entire state of Minnesota. A center for the technology of the entire state.

It is that kind of economy that also delivers service beyond the university to bring to the entire community the kind of savings and value for which people are willing to invest.

MR. KOBULNICKY: We have talked about creating a new model for faculty behavior that facilitates change throughout the academy, and a new mode of instruction that promotes a kind of broad, institutional awareness of just how necessary the faculty is.

But what does the model faculty member, who is responsive to the things that need to happen now, look like? How do we provide a model for the faculty, when there currently is none?

MR. INFANTE: One example that was fairly successful at the University of Minnesota was a restructuring in our College of Education and Human Resources. There wasn't a radical change in faculty perceptions and values, but one significant difference is that, whereas there had been previously a feeling of idiosyncratic behavior and of ownership course by course, now there is a feeling of a common accountability of the entire process. For example, before, faculty members received individual evaluations from students in their courses, but now they have taken considerable effort to look at the evaluation for the entire curriculum.

One of the things that has struck me while observing and participating in these changes is that they didn't come about because the faculty was allocating its time differently. Indeed, I am convinced that at the College of Education and Human Resources there was less effort and time involved in certain educational processes than before. Nonetheless, this system promises a much more coherent and unitary understanding of what each individual course is trying to accomplish, even though each faculty member may not be directly involved in the course.

The faculty is eager to be involved in this sort of restructuring, but the problem has been that we had not been able to institutionalize and sustain these activities. So one of the things we have worked on and in which we are beginning to be successful is in institutionalizing them, and we have thereby fabricated an enormous amount of pride in them.

MR. PROKASY: When I heard this question, I was puzzled by the fact that I didn't have a quick response like I thought I would. Then I discovered why I didn't: because the answer doesn't lie with the definition of what a model faculty member is. As a matter of fact, I'm not so sure I want to know what a model faculty member is.

Rather, what we need are "model departments." Departments have roles, responsibilities, and missions to define, but what we have tended to do in the past is emphasize the individual faculty member, providing the payoff there. By using that model over the years we have really destroyed the idea of a community.

Unfortunately, I am not sure just yet how to find a way to reinforce or reward departments within which faculty differ greatly in what they do. We need to find a way to accommodate substantially varied faculty members within the goal of also serving a departmental mission.

MS. GILLILAND: I totally agree with that. However, no one, not any of us, will give up our current mode of doing things until we believe in and see where we fit into the new process. Jim's example of what occurred in the University of Minnesota's College of Education and Human Resources, I believe, was successful because they had defined the process they were going to use.

Clearly, when individuals are given the choice whether or not to be a part of the program institutionalizing the rewards for a college, if they are involved in defining the process, most people will take part in the final product. It isn't just the time and the resources, but also the people who are necessary to get you where you want to be going.

The fragmentation we have at the faculty level we brought on ourselves, and it has, in fact, served us quite well, particularly in terms of the federal government funding enterprise. But we have to move away from the fragmentation in order to do what we have been talking about on this panel. At the University of Arizona we have tried to do this institutionally with our faculty development program, of which the library is a key component. It is working well, except that there isn't a critical mass of faculty involved from any one college. And so we stand the danger of losing the program if we don't change that participation, and we therefore are also focusing on the individual colleges.

One final comment: I am not convinced that these ideas will ever, at least in the way we are currently structured, be able to come from a dean.

MR. KOBULNICKY: When we were hearing about what would be good news from librarians, several of you mentioned that we could form some kind of partnership that would solve the journal problem. I believe partnerships with the publishers were alluded to.

We have had long discussions about what we can do to break the chain of scholarly communication in order to improve it and make it cheaper. Yet, in all the partnerships that we are forming with publishers, I don't see any of them saving money. In fact, everything costs more. What we have accomplished in these partnerships is provide better access. The key, then, to breaking the chain lies with the faculty, because it is the faculty who write the articles, submit the articles, and sign away copyright; and they are the ones who edit and read the journals.

Bill mentioned that publishing houses might be less important in the future. But the biggest problem we may be confronted with is how to change the faculty culture from being so wedded to the traditional scholarly journal.

MR. PROKASY: Well, my comment about their future was partly tongue-in-cheek, and so I don't have a great answer there. This has been a discussion we have periodically had over quite a bit of time. I completely agree with Paul's point. Basically, what we have been doing is spending institutional resources to produce new knowledge, which we then hand over ownership of to publishers, who then charge us to get the knowledge back.

If we are going to continue the journals as they now are, institutions and professional societies ought to be more involved in publishing these journals. The problem is, how in the world do we really pay off scholarly information exchange and new learning using contemporary technology, instead of going through the usual publishing techniques? I don't have a good answer to that, except that we have to experiment. There are some agencies trying to do this, and in time it will work. Journals in physics, which serve strictly an archival, rather than educational, function, are particularly suited; the education has taken place long before the journal ever appears in print. So, if we build on that speed of interchange, we can use it as a wedge to convince people to experiment with changing our mode of publishing. And anytime libraries can take advantage of this medium, we are the better off for it.

MR. EMMERT: The economics of scholarly journals is just downright bizarre. It is an artificial exchange. It's not clear what the value added is of this process; I absolutely agree with Bill. It is in the hands of the faculty and the scholarly societies, and we have, with the advent of technology, the prospect of significantly altering the entire nature of scholarly exchange and scholarly communication.

Clearly, the extent to which there is domain consensus around the intellectual problems of a discipline has some bearing. Physics does work well because of its temporal nature, whereas fields such as humanities or political science don't work quite as well. But those don't strike me as insurmountable problems. To have the publishers involved in the archival function is one thing; to have them involved in intellectual exchange is quite another. We are moving toward a new model of scholarly exchange; I don't know what it looks like, but I would love to have you all engaged in that debate.

MR. INFANTE: Let me make one last comment. From time to time, Tom has come to me to complain about the cost of certain journals, and ones I always look at are *Chemical Abstracts* and *Math Reviews*. I particularly look at *Math Reviews* because it is published by the American Mathematical Society, courtesy of Mike Hughes. I have gone to the executive director of the Society and have found that in each issue there are approximately 10,000 hours of free work involved.

I have come to the conclusion that in many cases I think we had better stop bashing the publishers around and really look at the process of the technology itself to find if there is a fundamentally better way of doing it. I am involved in the American Mathematical Society, and looking precisely at some of these problems, one of which is that the Society is going bankrupt, so I don't think blaming each other is working.

MR. BENNETT: We clearly have not run out of things to talk about, but we have run out of time. Please join me in thanking our speakers.

MS. CLINE: I would like to add my thanks; this has been a very invigorating afternoon. I would also like to thank you, Doug, for moderating this lively group, and all of you for making this an outstanding afternoon.

We appreciate your taking the time to meet with us. We have many shared concerns. This will give us an opportunity, I believe, to further strengthen the collaborative relationships that have existed within many of our member institutions, and I speak for all of us when I say we are looking forward to a continuing, and, most likely, an increasingly larger role for libraries in redefining the research and the learning environments on the landscapes of both the United States and Canada, and, in so doing, to rebuild that public trust.

Thank you all for a very good day.

APPENDIX I

ARL BUSINESS MEETING

President's Report

MS. CLINE (Harvard University): I would like to call us to order, please. Thank you.

We have a bountiful agenda, as is typical of our business meetings, so let me begin first with a report from the Board on our meeting earlier this week. A major item for discussion was the electronic scholarly communication proposals that have been coming through ARL for some time now. We promised that we would spend time discussing that issue with the membership this morning, and that will be discussed at length a bit later in our agenda.

We addressed the Coalition for Networked Information (CNI), reaffirming ARL sponsorship of that body and reviewing our agenda with CNI's executive director, Paul Peters. In our meeting we also discussed a whole host of copyright and intellectual property issues. You will most likely be hearing more about some of the committee activity, but, as far as your Board is concerned, we entrusted to the ARL Working Group on Copyright further deliberation of the issues relating to CONFU and its proposed guidelines. We have called for a summary report to make it easier for us to understand the status of those activities.

The Board also reaffirmed our need for continued discussion of these issues among the scholarly and higher education constituencies, and we expressed support that it be an ongoing priority to advance the discussion with other bodies. Recognizing what we felt was a good level of success in the summer meeting the Board held with other representatives of higher education on copyright, we recommended that we follow up with a similar meeting at a later point. We believe it is extremely important not to lose our focus on copyright; we need to be readily positioned for the next legislative session.

The Board also heard from Duane Webster on staffing at ARL, including recent recruitments, and on our budget.

Finally, the one really exciting, dynamic, and unpredictable thing that your Board does each year is that we have the privilege of electing the next President-elect for the Association. I am very pleased to tell you that the outcome of that election this year is Jim Neal. Congratulations.

(Applause)

Election of Board Members

That brings me to the point in our agenda when we elect new Board members, and for that I would like to call on the Chairman of the Nominating Committee, Gloria Werner.

MS. WERNER (University of California-Los Angeles): I must say that the Nominating Committee probably has the easiest task of any committee among the Association, because we get marvelous recommendations from all of you. It was a very short and sweet process for us.

Serving with me on the nominating committee were Martin Runkle, from the University of Chicago, and Pam André, from the National Agricultural Library. I am happy to nominate as the slate for incoming Board members Shirley Baker from Washington University, Ken Frazier from the University of Wisconsin, and Bill Potter from the University of Georgia.

Madame President, that is your slate.

MS. CLINE: By virtue of the fact that these are presented through a committee process, we don't require a motion, but I do want to seek any additional nominations that may come from the membership.

(No response.)

Seeing none, I then ask that these candidates be moved into office by acclamation.

(Applause)

Thank you. Congratulations to the three of you. The work of the Board is guaranteed to fill your calendar, should there be any voids.

Establishment of 1997 Dues

MS. CLINE: We are now at the point when we address our dues. This is an important business item that comes to us annually, and you will probably recall that we received a major mailing from Duane Webster mid-September on the dues. This mailing reported on the areas in which membership dues are expended, reiterating the Association's priorities. The Board, in advancing this recommendation to you, has given a very rigorous review of the Association's expenditures. We have not always advanced all the recommendations that have come out of the organization. We have been selective in focusing on strategic priorities for the Association and our intent has been to respond to what we have often heard from the membership, the concern that we keep the dues increases as low as possible. But balanced against that is always the expression coming from the membership of what our priorities need to be as an association.

With that in mind, Duane prepared the packet of information that accompanied the recommended dues increase. The recommended increase for 1997 is $600. It brings the total dues to $14,450. It represents a 4.3 percent increase over last year. Since this is brought to you as a Board recommendation, I don't need a formal motion. So at this point I would entertain discussion. If there is no discussion, I will move the question. All those who are in favor of passing the recommendation, please signify by saying "aye."

AUDIENCE: Aye.

MS. CLINE: Any opposed?

(No response.)

Thank you. That is, for any president, the hardest item of business.

Tributes to Directors

At this point, several of our members deserve a salute from the Association. I believe we have only one who is with us today, and we have asked Jim Neal if he would make a few remarks.

MR. NEAL (Johns Hopkins University): I rise to recognize and applaud Bob Miller, Director of Libraries at the University of Notre Dame, who is retiring and attending his final ARL meeting. Bob was a very influential and powerful force in my early professional life, providing me with extraordinary opportunities to grow and learn, and eventually with the inspiration to leave Notre Dame. Bob received his B.S. from Marquette, where he was a Woodrow Wilson fellow. His master's degree in history was from Wisconsin, and his library degree from Chicago.

He started at the Library of Congress and progressed through positions at Marquette; Parsons College, now gone; the University of Chicago; the University of Missouri-St. Louis, where he was Director; and he has been at Notre Dame since 1978. He was a Senior Fellow, and, in 1992, a visiting professor at the

University of Warsaw. Few of us will have the honor and distinction to serve a university as Library Director for nearly 20 years.

Bob can cite many important accomplishments from his tenure at Notre Dame. Allow me to mention just a few: the development of outstanding collections of rare and specialized materials, clearly one of his passions; the promotion of rich, cooperative relationships with libraries across Indiana; the significant expansion of funding and staffing for the libraries, such as the recent negotiation for $3.9 million in new dollars to be received over a three-year period, and a growth in the libraries endowment from the $1 million that was available when he got there to over $33 million today.

My oldest memory of Bob is at an ALA mid-winter meeting in Dallas, where I received an urgent call in my hotel room telling me to find Bob, and so I raced all over the city for two hours, wearing new shoes and with bleeding feet. Another memory is at a mid-winter meeting in San Antonio when, after sharing several pitchers of beer, which we did often, I followed him, without his knowledge, along the River Walk back to his room, just in case he fell into the river, which he almost did several times.

Bob describes his greatest achievement as surviving this long. I describe it as taking a sleepy, regional academic library and developing it into a lively and distinguished research library.

Bob and his wife will be retiring to Arizona after he completes another visiting faculty appointment in Warsaw. Bob, we wish you well.

(Applause)

MS. CLINE: I would like to take a few minutes and call your attention to the fact that we have several other colleagues who are not here today who are also leaving the Association. The first of these is Jim Meyers. He retired as Dean of Temple University, Japan, the special assignment he had undertaken for Temple, and he has chosen to accompany his wife as she moves to a new position, Associate Provost for Libraries and Information Services at Wright State University. Jim served ARL on the Committee on Government Policies for several years, as well as on the Information Policies Committee, and brought to bear on the efforts of those groups his long-standing interest in law. I think many of you who have been a part of the Association during the time that Jim was here will recall how enthusiastically he pursued his law degree. I am confident that no matter what position he is or will be in he will be bringing his sense of social justice and his respect for the law to bear on his efforts.

Another colleague who has announced his retirement is Richard Talbot, from the University of Massachusetts. His resignation as Director of Libraries is effective the end of this calendar year. He has a lengthy history of service to ARL's committee activities and governing, having served in the early 1980s on our Committee on Statistics. For those of you who are new, the statistics issue is not new to ARL; it has been a long-standing area of focus for us. Richard also was a member of an ARL and Center for Research Libraries (CRL) joint committee on expanded access to journal collections, again from the early 1980s. He moved on to the Board of Directors and served on the Executive Committee for ARL, was a part of our Task Force on Membership Criteria in 1986 and 1987, and was on the Task Force for a National Strategy for Managing Scientific and Technological Information in 1991.

Another colleague who is stepping down from his position as Library Director at the end of the calendar year is Don Riggs, from the University of Michigan. He will be moving to the School of Information, where he will be a full time senior professor on the faculty. Don has worked on numerous ARL initiatives, of which I will just mention a few. He was a part of the Membership Committee to look at issues relating to non-university libraries in the mid-1980s, was involved in the Committee on the Management of Research Library Resources in 1990 to 1992, and then with the Research Collections Committee from 1992 to 1995.

There is one other colleague who we had every reason to believe would be with us today, until an accident occurred last Thursday in Boston, and that is John Laucus. [Editor's note: see "Trolley Hits Librarian, Injuring Him Critically," *Boston Globe* 11 Oct. 1996: B13.]

In early September John wrote Duane the following note, which I read to you because it tells of him so well.

> Dear Duane,
>
> Here is one more for your transitions section. At the end of January '97 I will embark on a year's leave of absence and follow it through by retiring at the end of January '98, so this October session in Washington will be my last. I have enjoyed working in libraries since 1947 and at Boston University since 1960, and a great deal of that enjoyment in later years has come through associations with you and your people at ARL. I look forward to seeing you in D.C. next month. Happy autumn.

John Laucus had an exceptionally long career and great influence, particularly with the academic libraries in ARL, but those of you who know of his relationships with people at Boston Public know that he wasn't shy about helping them change their perspective, if need be. John graduated from Harvard College, majored in English Literature, and went to library school at Rutgers. He began his library career in Harvard's Baker library, the business administration library, worked there for about four years and then moved over to Boston University. He has used his influence there ever since. John held several positions there. I believe he started there in the business library, for a period of time worked with the undergraduate library, and he moved into the director's position in 1968.

John was the type of person who has influenced a lot of things in a quiet, behind-the-scenes way. When I arrived in Cambridge, he took me out to lunch and proceeded to give me, on the backs of whatever pieces of paper we could find in the restaurant, all sorts of clues as to how to walk about Boston and how to make the best use of the "T." They are wonderfully charming little scraps of paper that, depending on where I am going, I can slip in my purse and be perfectly prepared for whatever part of Boston I am aimed for. That was the kind of person he was.

Another thing that mattered a great deal to me, and I believe to many of the other librarians who worked in the Boston area, was the reception he hosted welcoming me to Harvard. It was held at BU, and what made it so special was that he invited a whole range of head librarians from the Boston area. How else would I have had the opportunity to meet someone who was from the Woods Hole Oceanographic Institute? That could have taken years to occur, but he had the gracious way of bringing a variety of people together in one room, and making sure that we all understood that we were committed to libraries and that, even though we might not always be in the same organizations or associations, we had lots of reasons to work together.

I am personally deeply sorry for this loss because he is the type of gentle influence that works to make so many of ARL's programs a success. So, in his absence, as in the absence of the other three, I would like to bring recognition to his career. Let's give them all a round of applause.

(Applause)

Now we have some committee reports; I will first call on Dale Canelas to talk about the Global Resources Program.

Report on the Global Resources Program

MS. CANELAS (University of Florida): I will give a brief overview of the Global Resources Program, a six year effort that has been funded by The Andrew W. Mellon Foundation. The Committee on Research Collections has overseen a very complex series of consultations involving scholars, scholarly societies, ARL library directors, and those who serve as collection managers, to define the issues and identify productive courses of action. The publication that you all received in the spring of last year,

Scholarship, Research Libraries, and Global Publishing [Jutta Reed Scott (Washington, DC: ARL, March 1996)] actually documents what had happened, what we found, and provides a framework for us to move on.

The impact of reduced holdings and increased reliance on sharing programs is impacting faculty, and how it will affect scholarly working habits is something for which we need to develop solutions. To do so, ARL sought the support of the Association of American Universities (AAU), and we are now making plans to work with a group of chief academic officers. Two years ago we started with three demonstration projects, dealing with Latin America, Germany and Japan. The most advanced project continues to be the Latin American Project, partly because it has Mellon Foundation funding. The other two have had to scrape by, largely with volunteer efforts. There are two more projects currently being developed, and the Center for Research Libraries is being involved in areas where they have strong programs, specifically in Southeast Asia and Japan.

The Global Resources Program really is not a single effort. It is a series of interconnected and federated efforts that do require coordination. Luckily, the good news I have to report is that ARL and AAU have reached a preliminary agreement with the Mellon Foundation to submit a proposal that would provide support for us for three years in order to accomplish four things: to create an ongoing global resources program; to provide a full-time coordinator for the three year term; to launch an educational effort to both inform faculty about the program and to build consensus on strategies for addressing these needs; and to establish an advisory council that would include chief academic officers and library directors from AAU and ARL institutions.

There is a handout available that describes this program (see Appendix III). I welcome and invite your questions, comments, and input. Thank you.

Report of the Working Group on Copyright

MR. NEAL: I will be reporting for the Information Policies Committee and for the Working Group on Copyright. It is important to review the status of recent legislative proposals in this arena, which address Copyright Term, the NII and Intellectual Property, Database Anti-piracy, Copyright Clarification, and Patent and Trademark Office Reform. None have passed. Remember our primary strategy as an association: To implement tactics to slow down the legislative process on copyright so that the key issues can be identified and debated and so that appropriate improvements supporting the interest of the higher education and research communities can be introduced.

We have been remarkably successful. One piece of legislation we need to be particularly attentive to in the forthcoming congressional session is the Database Investment and Intellectual Property Anti-Piracy Act of 1996. This is a response from the information industry to the 1991 Supreme Court decision *Feist* v. *Rural Telephone* that held that comprehensive collections of facts arranged in conventional formats were not protected under copyright.

This proposed legislation, which I encourage you to read, would extend protection to any databases that are "the result of qualitatively or quantitatively substantial investments of human, technical, financial or other resources in the collection, assembly, verification, organization or presentation of database contents." ARL must oppose this legislation, but with sensitivity to the interests of scholarly societies who have substantial investments in database publications. Significant commercial risks are now on the table with this legislation. We must be wary of moving important intellectual property issues outside of the constitutional area, and that is what this legislation proposes to do. We must protect the public domain status of government information. Watch this one. It is important.

Copyright issues are advancing to the international arena. The NII and the database protection legislation are being introduced at the World Intellectual Property Organization meetings to be held in Geneva this December. The American library community is very well represented through our work with the Digital Future Coalition. We are being represented at the world regional caucuses, and we will be at the meetings in December. We must stay the course. We must pursue both domestic and international

advocacy and mobilization, we must cause as much mischief as possible in international meetings, and we must influence the national delegations in Geneva.

The CONFU draft guidelines have been a very important part of our intellectual property discussions over the last several years. We reviewed the status of these draft guidelines and how they affect the areas of electronic reserves, distance learning, digital images, interlibrary loan, and multimedia, and we concluded that ARL should oppose the draft guidelines, as they do not serve the needs or interests of higher education communities. ARL has been at the CONFU table. We have been trying to make the process work. We have been unable to achieve agreements in our efforts to define safe harbors and not to set limits, which take on the character of law.

We must now turn our attention to creating statements of best practices to assist our staffs working in these areas, and we propose to submit an ARL document for the CONFU's final report that will strongly define the position of the research library community and advocate the values of learning and knowledge discovery, things that are important and need to be protected.

The copyright briefing package that you all received has turned out to be an excellent tool for working within our university communities. We need to have meetings with our university counsels and faculty, particularly those who serve as journal editors, but we also need to more effectively articulate our values and our position to the public at large. We are recommending the development of a template with clear and simple explanations and anecdotes of practical implications of intellectual property legislation that could be part of a nationally coordinated effort organized through ARL.

Report of the Information Policies Committee

Moving to Information Policies, you have received a copy of the ARL Strategic Plan on Government Information in Electronic Formats, which was endorsed by the Board at its summer meeting (see Appendix IV). This plan proposed activities such as educating, data gathering, political advocacy, and the creation of pilot project development activities. Moving from that strategic plan, we are now organizing meetings with government statistical agency representatives to develop partnerships between ARL institutions and government agencies in this arena. We are organizing a meeting with government agency CIOs. We are setting up a meeting among project leaders from ARL libraries who are working in this area, and we are looking to develop a forum for assistant directors, government documents librarians, and faculty researchers to talk about the developments.

As we learned at lunch yesterday, campus information policies are a very, very important issue down the road. The issues of academic rights, responsibilities, and conduct in such areas as privacy, harassment, pornography, copyright violations, hate speech, and inappropriate uses all are going to be on our plates in our universities and our libraries, and the Information Policies Committee is planning to put together a set of principles for campus information policies that can serve us all in our work at our universities.

Finally, the Information Policies Committee spent a great deal of time at this meeting talking about Internet2. As we know, there are two major developments. The work of university presidents and CIOs focus on network capacity and dependability, and AAU will be meeting on Sunday to discuss this. The second development is the Clinton Administration's announcement last week in Knoxville of their plan to enhance the Internet for the research community. We need to be sure that the issues of digital library content are a priority in these initiatives, and we need to make sure that the future of federal and university funding is responsive to the needs of our libraries.

MS. CLINE: Thank you, Jim, and your various groups. If I may editorialize, I would like to underline the point that we need to educate people about and engage them in these important issues. We have a lot of hard work ahead.

Salute to Board Members

At this point I would like ask Jerry Campbell and Jim Williams to come forward, please. I would like to thank you two Board members. Your last service for the Board was the meeting earlier this week, but, as you leave, you never really leave behind your Board responsibilities; we count on you and will often lean on you to help make sure that the Association's work is truly successful.

Jim has kept us pointed forward in so many important areas, but the one that stands out for me, the one which I feel gratitude for personally as an ARL director, is in the area of our diversity accomplishments. There were so many times when the going was rough, it was hard to come up with funding, and we weren't quite certain how much of a presence we could make for ARL in this area, but in terms of thinking of the management of our organizations, Jim was always able to articulate its importance, especially if we are going to succeed in the new millennium only a few years ahead.

As for Jerry, what can I say about a man who has stood in front of this microphone so many times, who was our presiding officer, who took us through some very tough issues, and who has also made quite a name for ARL in our relationship with AAU? He has worked both behind the scenes and in the context of many meetings, and he has kept us focused on the big issues, such as reminding us of our purpose in the educational arena for the many constituencies that we serve.

Both of these men have kept us focused on our vision and have made certain that the Association keeps its credibility high in both the education and research fields. We are confident that, while we may eventually have libraries without walls, there will always be walls on which these mementos will hang. Board service is a demanding task, and it is nice to be able to recognize two people who have contributed in so many ways to our Association. I thank you.

(Applause)

Now, at this point, Duane will give us the Executive Director's report.

Report of the Executive Director

MR. WEBSTER: As a bridge to my own report, I would like you to focus on the report on Association activities over the last six months (see Appendix VI). This document, which was distributed to you in advance of the meeting, is our effort to be as transparent as possible. It describes what we are doing on your behalf, and includes working with committees, working with the community, focusing on the agenda the Board has set for us, and attempting to do as much to advance the interest of research libraries as we can. I am very eager that you look at this; to facilitate that, there is a set of highlights on the front page to help you pursue those parts of the report that are of particular interest to you.

I would now like to salute the staff who have worked so hard on your behalf over the last six months or longer. They deserve special acknowledgment for their hard work and good efforts. Part of those efforts is directed at making more and more of our publications and communications electronically available. On page 159 of the activity report there is a description of our expanded website and a list of the addresses involved. I draw your attention to it because both the report and the ARL newsletter are available at our site on the Web. We are expecting to make more and more available there, bringing it to you more quickly and more efficiently. I particularly want to acknowledge Dru Mogge's special efforts in this area.

The other item in the activity report I want to draw to your attention is a new service coming from the Office of Management Services, described on page 148. It is an information service aimed at inventorying and describing key projects in select areas, serving as examples of libraries that are transforming themselves in the new electronic age. The service is therefore called *Transforming Libraries: Issues and Innovations*. It will have four issues a year, and the first topic is Electronic Reserves. We have designed a

package that is part print and part electronic. The printed form will be issued quarterly, but each issue will be accompanied with a website address for an updating and moderated site, allowing for questions and exchanges about the innovations and issues.

This will be part of the Systems and Procedures Exchange Center (SPEC) series, and it is an attempt to move SPEC into a new arena. Rather than simply describing current practices, *Transforming Libraries* is an effort to assess projects that are helping to transform research libraries and prepare them for a new period. The service is also different in other respects. Instead of burdening you with another survey, we are asking an expert, based on his knowledge and investigation, to collect the information and provide it to you. We are also seeking to use this service as an attempt to describe innovation wherever it might occur, in both ARL member and in nonmember libraries. There will be a real technological focus in the service.

This is a service that has come about in part because of our close discussions with the Management Committee, chaired by Paul Kobulnicky. The Committee has been looking at the future of the Office of Management Services (OMS) and has urged us to reconceptualize that office's vision and mission. Historically, the OMS has been focused on helping to improve the management and operations of libraries. It is going to continue in that capacity, but, with the encouragement of the Management Committee, we are also going to extend that capability in order to provide support for those of you who are determined to transform your institutions to allow them to succeed in the new environment. It is a very exciting direction for the OMS.

I would like to also note some of the changes taking place in our team here at ARL. We have had a couple of very important losses, but, as a result, we have had the great opportunity to recruit new talent to the Association. First, as you know, Mary Case joined us as Director of the Office of Scholarly Communication last June and she has already begun to put her skillful talents to work on this important part of ARL's agenda. We have also been able to attract Deborah Jakubs to work with us on the Global Resources Program and with other collection issues. She is working as a part-time Visiting Program Officer while remaining at Duke University, and will be assisting the Program between now and the end of the year; we hope it will turn out to be even longer.

Joining us mid-December is a delightful addition to our team, DeEtta Jones, the new Program Officer for Diversity. She is currently the Director of the Office of Human Rights for Ft. Collins, Colorado, and prior to that she was in charge of minority recruitment and diversity leadership training at Colorado State University. She comes with an M.S. in Student Affairs in Higher Education and an undergraduate degree from Colorado State. While she is new to libraries as organizations, she has great experience in recruitment issues and in leadership training. We are looking forward to her bringing a strong and fresh contribution to our Diversity Program.

Another staff change is that one of our key people, Patricia Brennan, has decided to return to her homeland of Ireland for a six-month leave of absence. She will be sorely missed, but we are doing our best to encourage her to come back soon.

I invite all of our members to come and spend a day in Washington with the ARL staff; we are very eager to get to know you more directly. We think if you would come and spend time with us not only would you get to know us a bit better, but, more importantly, we could learn more about your interests and concerns. We would very much like you to come and get to know the resources and capabilities that are serving your interest.

I end by saying how much I have appreciated working with Nancy Cline over the course of this last year. Nancy has been a real trooper, taking on the ARL presidency while changing jobs. It is a real tribute to her energy, determination, talent, and leadership zeal that she has been able to balance it all so well.

MS. CLINE: Well, I have certainly been able to count on a lot of really competent people here.

Discussion on Electronic Scholarly Communication

MS. CLINE: Now, we have assured all of you that we would spend some time discussing electronic scholarly communication, and, if you will permit me, I will give you just a bit of background in order to aim us all in the same direction.

First of all, the Board reviewed ARL's long-standing commitment to scholarly communication and concluded that the electronic dimension is a natural evolution for us. The real questions are: Are we doing all that we can be doing? Are there some areas in which we should be moving differently?

The willingness of the AAU presidents to collaborate on this agenda provided a real opportunity for ARL and has certainly brought us visibility in the education community. At the same time, with that visibility comes continually growing responsibilities to keep our leadership edge. We have really taken a lead on this initiative, including moving into different constituencies, and people continually turn to us for guidance, raising expectations beyond what we ourselves might raise. So how we follow through on those relationships is very important. Our AAU/ARL Steering Committee moved us to thinking of a consortium-based effort, and in the spring we put together a Board Working Group, populated by Nancy Eaton, Jim Neal, Barbara von Wahlde, Jerry Campbell, and Paul Peters from CNI, on whom we relied for some key staff assistance.

Previously we had been moving in the direction of supporting various projects. However, it soon became clear that, in many arenas, projects were already moving forward. As a result, the Board concluded that advancing a new series of competitive projects was probably not the best way to be in sync with what was happening with the Internet and the Web. Instead we decided we should seek to support a framework so that the ongoing projects would, in a cumulative way, add up to positive results for the scholarly community.

After our May Membership Meeting in Vancouver, we began discussing a framework for electronic publishing, asking for your input, as well as asking ARL and CNI staff to pursue discussions with people who might be labeled pioneers in electronic publishing. We also asked staff to look at some profiles of organizations that might provide a model for a collaborative enterprise in this arena. Some of you who have been involved in electronic publishing activities in your respective institutions know about those conversations. As each conversation opened, it led to an awareness of yet other activities that were out there, confirming that what was needed was to look at a larger context for enabling electronic scholarly communication.

During this fall, refinements continued on the concept of a framework for electronic publishing. In our Board meeting earlier this week we boiled things down even more in terms of what might be feasible directions for ARL, and we explored some of the alternative strategies considering both the upsides and the risks of involvement. We concluded with the general sense that there certainly were some main areas for the Association to explore, and this morning provides a time for us to hear from our members what they think we should be doing. I understand that the Scholarly Communications Committee had a lively review of the issues when they met two days ago, and I am sure that that committee interaction will help us evolve some constructive guidance here this morning.

Paul Peters and Mary Case have now passed out a document called "An Enabling Infrastructure for Non-Profit Network Scholarly Communication" (see Appendix V). Someone has labeled the document a "straw proposal" making it a bit more tentative than most proposals. What we really want now is to use this document as a device to focus, but not limit, the discussion here at our business meeting.

We propose that each person take the liberty of considering this yourself, but to then use it to formulate group discussion. We are looking for multiple input streams, both that which is given to us as a group at this meeting and the personal input provided to us in writing after the meeting. So, if you don't like the tone of discussion at your table, you have all the latitude in the world to exercise your own opinion. The discussion at the table, we hope, will bring different perspectives together so that what might seem like a dull or impractical idea for one institution will maybe excite one of your colleagues, and together you can work through its importance to our total membership and the constituencies that we serve.

We will now have a break, and when you return we will have an open question time. Then we will have small group discussion, followed by a plenary discussion so that we can benefit from the exchanges that take place at the individual tables.

[At this point there was a 30-minute break in the meeting.]

MS. CLINE: In the course of the break, I found that there were still questions regarding the history of this proposal. So I have asked Paul Peters to briefly fill in those gaps before we continue.

MR. PETERS (CNI): Thank you. Last winter and spring, we began discussing ways to support collaboration among new projects using the Internet in general and the Web. As this conversation began unfolding, the resulting IScAN document, put together and given to you in May, had become really a stitched-together version of a variety of member inputs. A lot of people who saw the IScAN document concluded that we were talking about IScAN as a publisher, even though the conversations we were channeling never were in the main about creating a new publisher that would be owned and operated by ARL or a group with whom ARL was associated. Nevertheless, this was the perception that we heard from your comments on the IScAN document.

The second thing that I would like to mention is that this new, current proposal addresses purely nonprofit publishing. I want to take this opportunity, however, to say that this is not anti-commercial publishing; rather, it is pro non-commercial publishing. In addition, this proposal is not about establishing a centralized production capacity and all that that implies. Therefore, one interesting thread of the conversation you are to have today asks if ARL should be doing more to promote not-for-profit publishing.

The last thing that I would like to say is that there are many avenues down which the idea in the proposal before you today could proceed. We could continue onto more studies, take some organization already in the field and ask it to incorporate this agenda into its program, form a new organization or project, or we just might not proceed at all. So, this is intended to be a public conversation about strategy.

MR. BILLINGS (University of Texas): Because I really believe in promoting for-profit, good, reasonably priced professional publishing, I would like good, strong, professional not-for-profit publishers to publish well and deliver. So, in effect, it seems to me that ARL's position needs to take those aspects into account.

MR. NEAL: We want that sort of feedback. What other advice can you give, from the strategic point of view? The Board will meet after this meeting, where it will take into account the discussions here and any additional feedback you provide. This is an opportunity for the membership to engage the same sort of topics that have been engaged by the Scholarly Communication Committee, by the Board Working Group, and by the entire Board that has been working on this intently for at least nine months. You also now have the opportunity to make a comment that will be channeled into the discussion process in a very deliberate fashion.

MS. CLINE: Harold Billings' point is an important one. Earlier, someone approached me and asked why ARL was so anti-publishers. Depending upon what you read of our work or where you encounter us, we could be seen in that light. So, we need to be careful of that misconception.

MS. von WAHLDE (State University of New York-Buffalo): Because of my extreme interest in this topic, I asked to be involved with this particular Board working group. This is just a personal perspective, but I am concerned that it takes us so long, as an organization, to massage an interesting and good idea. How much input do we need from the membership? How much time should be given to the Board and the staff to work these ideas and bring them back to us, because I believe that sometimes we have a good idea, but then in a moment it is gone and we have lost the opportunity. I would hate to see that happen here.

MS. SLOAN (Columbia University): I would be happy to respond. I, too, have been involved in this effort, as a member of the AAU/ARL Steering Committee. It has evolved. Many documents have been sent to you over the course of the past year. As Chair of ARL's Scholarly Communication Committee, I met with the Board this week, and I would reiterate what the Board members have said to us this morning. We had an idea. We had a limited period of time, and it caused us to really begin strategizing in a very open forum. The conversations with the Board and the committee have helped to shape and clarify issues. What I would like to stress is that we are dealing with an idea or a concept about what direction to take next.

What we want to hear from you is whether you want the Association to move forward in this direction, or, as Harold suggests, with some elements added to or taken out of the proposal. Surely there is a great deal of clarification and defining to do, and that work will be fed back to you in what I hope is a very timely fashion; we will not wait for the next committee meeting. If it is agreed that we should move forward, the Board will convene a small group to begin working on the details.

(From the Audience): I am confused. I have carefully read through all of the documentation, and I remain utterly unclear as to what you want my opinion or my input to be. There are apparent contradictions in the documents that leave me uncertain as to what is intended. While I certainly feel that we all agree with the idea that something would be desirable in the way of effort, it would help if somebody could tell me in simple words what the proposal is. If, indeed, it is an idea and a concept, and what you want to know is if we want to do something, then it seems that we are back to the point where we once again say that we do want to do something. But, if what we have before us is a specific proposal, we need it to be more specific and quite a bit clearer as to what is needed.

For example, I am confused because the documentation itself is very unclear as to whether we are discussing a collaborative program or a consortium. It says on the first page of document one that we are considering the creation of a consortium. Another document I saw said that, clearly, we are not talking about a consortium; we are talking about a collective program. Just now it was said that we are talking about an idea or a concept. I would appreciate a clarification.

MS. CLINE: Well, let me see if I can pull this together from the Board. In the spring we felt we had a window of opportunity. We had the attention of the AAU presidents and of some other players. In response to what Barbara said, I think the Board felt that the time was right to move forward. However, as we began to scale some of the issues and to identify how some of the specifics would work out — we were talking about seeking a business plan on some business models, for instance — we began to get questions and comments that indicated that some of our members didn't feel this was a direction in which ARL should move. One member view was that this direction could introduce a competitive force that could negatively affect their institution; another view was that ARL might cloud the issues we were trying to address, rather than bring clarity. That was why, in July, the Board felt that we had better get a response from the membership before proceeding further. Hence, this discussion is meant to do that.

So it is conceptual. It is loose, and what we need is to get clarification for some of these issues. Does one type of organization accomplish more than another? Certainly from the Board's point of view, if ARL is to do anything we have to make certain that we don't jeopardize our current standing as a 501(c)(3) organization or in any other way. We just weren't certain that all the membership was behind us, but, if the sense of the meeting here today is that we want to keep this moving, subsequent steps will be quickly taken.

MR. CAMPBELL: It is easy to be confused in this matter. Let me say where I think it has come down. This has all been conceptual. It has happened in stages partly through our relationship to the AAU, and that continues to modify. At the moment, though, I believe it is best not to speak in terms of any specifics or about any particular organization.

Let me just boil it down to what I think the kernel of this idea is. Part of the difficulty we have suffered in the past generation, relative to the networked environment where we have either shared information or not, is that the environment basically has no clear management element.

As conversations go forth about the Internet environment in which we work, whether it is the old Internet or the new Internet2, the question that is always raised last, if it is raised at all, is how we will manage our own in this environment. Manage is the key element there. We tend to talk a lot about what the technical infrastructure of the environment would be, and that absorbs most of the interest in the activities. But the question of what the environment will be like from a management standpoint is extremely important.

All that we are trying to do with the "straw proposal" document is test your agreement on a few key points and strategies. Point number one: how we manage the environment and what that environment is like are very important. Point number two: you would like for ARL to be a part of keeping that issue visible on the agenda with AAU. I would like for ARL to be responsible for telling the AAU that we can't let this whole conversation be absorbed with the technical speculations. We need to talk about the kind of environment we want to create, and realize that the way we manage that environment will impact the way we manage intellectual property. How do we want to impact intellectual property? We want healthy commercial publishers, but we want to get a reasonable price from our viewpoint.

These are complicated issues, but we don't want to be thrown into a role we do not want. We are asking if you are interested in ARL being the organization that brings this focus to a discussion about managing the network environment. If so, we go from here to deciding on the best way to do it.

I would like to know how, in the Next Generation Internet, our institutions might affect the policy that governs the internet environment. I don't know that now. Well, actually I do know that now. It is a very unsatisfactory answer. So we have been trying to pose a question about how to discuss a corporate approach to defining and determining the environment in which we will all be operating. So, for the sake of the discussion this morning we ought to drop out all the specifics.

MR. BENNETT (Yale University): I really support what Jerry Campbell said, and I want to remind us of some history. Maybe five years ago this association started thinking that perhaps copyright would be central to future communication in some way, and we moved, over a period of time, toward a central commitment of our energies to that issue. It seems to me that we are at the same point with regard to creating an infrastructure for scholarly communication, and what is before us is not a question of whether we will do it this way or that way, but whether we will commit our central energies, or at least a significant piece of our central energies, to addressing those questions. I don't know what the outcome of such a commitment would be any more than I know what the outcome of our ongoing involvement with copyright management will be, but I believe that is the question before us.

MS. EATON (Iowa State University): I am a member of the Board. The last two speakers captured some of what I would like to say. What the Board, along with John Vaughn from the AAU, has been struggling with for the last nine to 12 months is the fact that the AAU presidents have engaged in this, but they have a certain mode of operation. They are very action oriented, and our concern right now is that they stay focused on the two tracks of their agenda. One track is the technology itself, and the other is the intellectual content; we want to be sure that both those tracks continue and remain parallel. Next week the IT people will have a very practical proposal in terms of infrastructure and Internet2, which could simply overwhelm the content portion of the agenda. At a practical level, we are trying to figure out if there are

areas to recommend to the presidents that we can work on jointly and that also follow the second track, intellectual property and content. That, I believe, is the hard part with which we are struggling.

MR. ROCHELL (New York University): I would like to go back to what Harold Billings said. This is a very visionary document. I think we will all, individually and collectively, need some kind of anxiety reduction, if you will, in this area, and we are trying to find a way to get that. I agree also that, to the general membership, it is pretty hard to figure out exactly what it is that we are trying to accomplish here, other than relieving anxiety.

I would also like to clear the air a little bit. I believe that the idea of a consortium is probably five years too early, and I would not like to see the Association embark on a lot of activity in that particular direction. Having said that, I do believe that there is good work going on in the organization now, and I would like to see continued monitoring, watching, and coordinating, whatever we are doing through CNI, through the Scholarly Communication Committee, and so forth. I am speaking basically about the publishing world. I would like to see us acknowledge that we are not in a crisis to establish an organization or move in any particular direction at the moment, but that we continue down the track of making sure the membership is fully informed about what is going on in electronic publishing today and informed about the core issues that concern us all.

MS. CLINE: Let me ask that you now work in small groups for about 20 minutes, and then we will come back and resume this broader conversation. Of the things that you have heard, have been thinking about, and have read before, if there are some areas that you think are highly dangerous for ARL to tread in, take this time to indicate so. If you think there are areas that would be highly productive for us, please indicate those. We heard yesterday that we should be working with cataloging, organizing, and archiving electronic information. Everyone is forming expectations for us. This part of the Membership Meeting is the time for us to talk to each other, to express your opinions, sentiments, and reactions.

(From the Audience): I think this plenary session will be much more useful than the table discussion would be.

MS. CLINE: We are an agile organization. Let me take a vote. For? Against? Well, it looks like you have your finger on the pulse. We will remain in plenary session.

MR. MOSHER (University of Pennsylvania): My wish is still to clarify what it is we are considering, and I would like to suggest a slight redrafting of what was said to see if it captures the intent. My understanding, then, is that

> we propose that ARL adopt policies and devise selected vehicles to contribute to the effective management of and to encourage publishers in the network environment.

I would have said not-for-profit publishers, but people are not in agreement as to whether we are only dealing with those publishers. My sense is that we want to encourage publishers that have to do with academic information.

MS. CLINE: Thank you. Merrily?

MS. TAYLOR (Brown University): Well, perhaps I speak only for myself, but I think there is still quite a bit of confusion here as to exactly what we are talking about, particularly as it is reflected in the straw proposal that perhaps is visionary because it doesn't say anything. I don't mean to be harsh, but it is just so broad that it doesn't give me an idea of what ARL would do if we said yes. Is it the question of whether ARL should take a productive role in encouraging our universities to be more proactive in putting material online, which is something that we have been talking about in this association for probably ten years? The problem we are facing is that everyone thinks it should be happening, but somehow the

mechanisms to make it happen don't seem to be occurring. That is what I would like to see us try to get to: what we could do to make that happen.

I am behind us taking a more active role. I want to make that clear. I just don't understand what the focal point is in terms of action.

MS. BAKER (Washington University-St. Louis): We have all heard about the technology until we are blue in the face, and our presidents do tend to think that is the only issue. They have also said however that they are prepared to do anything that shows that the policies and the content are important as well, and we are a group that should stand ready and able to talk about these things. I think that would be valuable, and I would look for some modification of the proposal as restated by Paul Mosher to make sure that we get the policy formation in there on equal footage with technology issues. Thank you.

MS. CLINE: There has been a request that we restate the proposal.

[The proposal as restated earlier by Dr. Mosher was displayed on an overhead transparency.]

MS. WERNER: I would like Paul Peters to walk us through this document. People say it is too nonspecific for them. It seems to me that it is a lot more specific now than earlier drafts, even though it might well need to be even more so.

MS. CLINE: What we are trying to stay focused on is the three-page straw proposal that was handed out today, and which Paul Mosher then heightened or broadened with a recommendation.

MR. MOSHER: I was really just trying to redraft the second paragraph of the introduction so that it would be clear enough to understand discussion question number one.

MS. CLINE: Okay. Now, Paul Peters do you want to quickly step through the key elements of the straw proposal document? [Editor's note: See document on pages 119-121]

MR. PETERS: Yes and no. I can honestly say yes and no because I would not want anyone to take the document as more important than the conversation. But I would be happy to go through the document. Where would be a good place to begin, the introduction or the individual purposes?

MS. CLINE: The purposes.

MR. PETERS: These five purposes are those that seem to have the most resonance with the Board and then the Scholarly Communication Committee. They are derived from the so-called "focus document," one of the documents that was mailed to you in October. So, putting all these purposes together, today's conversation is looking for ways that ARL, in combination with organizations such as AAU, ACLS, the individual libraries, the presses, and other collaborators could work together to ensure maximum access by users and maximum market for providers, to improve the flow of access to scholarly information, to influence the economics in traditional scholarly information, to contribute to a more competitive and balanced marketplace, and to exploit emerging technologies for the benefit of education and research.

Are there any questions about the purposes?

(From the Audience): The word management never appears, if that is the central issue.

MR. PETERS: If the word management does not appear in the statement, I think it is fair to say that that idea was brought up during this session. It was not as clear to us then as it is now.

The three questions that have started the most discussion in this meeting are, first, who participates? It was a working group choice that the participants would come together around a certain set

of principles. So naturally, the second question that sparked discussion is, what are the principles or criteria? And, thirdly, what would be the activity's major functions?

The participants are thought to be predominantly academic libraries and presses, and scholarly and scientific societies that want to work in partnerships with the other disciplines on the principles. Other kinds of organizations might also participate if they are willing to contribute to the purposes and embrace the principles of the activity.

The principles that would define the core of the activity would begin with strong agreement as to the use and reuse of intellectual property, and with the promotion of access as a very high priority. Secondly, there would need to be a strong commitment to pricing strategies that ensure revenue levels that provide incentives to the creators of intellectual property, among others. Inter-operating platforms, products, and services need to be a priority, and, finally, a strong commitment to affecting long-term archiving of network information.

One of the key functions for this new activity, which we have heard people talking about at this meeting, is the promotion of these purposes and principles in order to make them more visible in the marketplace, for instance, through a brand identification for this collective activity. It is also thought that another function could be to convene panels, small groups of people who could hear and offer recommendations regarding any differences and disputes that may arise between members of the activity. The word we are not using is arbitration. The idea is to offer some form of mediation, an alternative to litigation as the only option for dealing with differences and disputes.

This collective activity would also function to adopt, and in some cases develop, and certainly implement, best practices and technical standards. It is thought that the collective activity would also write grants and develop venture capital pools, and that it would disseminate, and in some cases conduct, various kinds of research.

MR. BILLINGS: Our organization, ARL, has been involved in these kinds of activities for a number of years. It seems to me that what we are looking for right now is perhaps a new vehicle to bring these efforts into a new focus. Perhaps to find a new, more active, aggressive way of pushing some of these things forward. One of the things that I feel most fortunate about was the opportunity in 1990 to be part of the ARL Board that established the Coalition for Networked Information, which, frankly, seems to be the organization that reflects a lot of what we have been saying. I find it very puzzling if we now seek a new organization.

MS. BUTLER (State University of New York-Albany): Harold's point is exactly what I want to ask about. Perhaps everyone else in the room understands the difference between the particular purposes that yet another organization might pursue and the purposes of CNI. However, I think that is an issue to be addressed, as I am not the only one confused by it.

MR. FRAZIER (University of Wisconsin): Four quick points, and this is my attempt to try to focus on issues of concern to my institution and areas where ARL may be of help. I believe we need to redirect our acquisitions resources to publishing enterprises sympathetic with academic values, that is, change the way we spend money. We need to develop and support ventures that develop communications in electronic form. Once again, that has to do with how we spend our money. It is very important for us at Wisconsin to encourage faculty members and certain editorial boards to address the issues of reasonable price and access to information for the scholarly community.

Finally, I personally favor the formation of national licensing consortia, and I note the problems with this idea. It was the main reason I was involved in developing the CrossFire-Minerva project. The achievement here is that the development plan can enlarge the market and will improve the terms and conditions of the license. I believe that is essential to our future. We need to enlarge the market so that publishing enterprises can recover costs and keep prices reasonable so that we can provide scholarly access.

MR. BISHOP (Northwestern University): When Jerry Campbell started talking about Internet2, it seemed to me that we broadened this whole issue rather dramatically, and we run the risk, then, of having it so broad that we really cannot accomplish a great deal. I also think that when that happens, or if that happens, it does become a real issue in terms of the Coalition for Networked Information. I think one of the major benefits CNI has had is that it has brought EDUCOM, CAUSE, and ARL together, eliminating duplicative efforts and allowing us to focus our energies together.

I think the Internet2 kinds of issues are most appropriate for the CNI environment. I would agree with Paul Mosher that the initial proposal is extremely vague and very hard to understand. But, when you go through it, look at the specifics, it becomes a good deal clearer, and it focuses specifically on publishing in a networked environment. At that point, it becomes a little unclear as to whether this is an ARL or CNI issue, and it might go either way. It would seem to me that we need to stop and take a look and see what this proposal is, what it is that we are we trying to accomplish. Are we trying to solve the overall infrastructure problems of the network? Are we trying to deal with not-for-profit publishing? Are we trying to satisfy issues of archiving? What is it that we are trying to do?

MS. CLINE: Paul.

MR. KOBULNICKY (University of Connecticut): I want to pull out a point that, again, Ken raised. I think it is a very institutional point of view. I am wondering if it is not important for us here to articulate the particular leverage that we are bringing to this discussion. We talked about goals, but the goals that I read here are the same goals that we have died for as long as I have been involved in research libraries. So what is it that we are now bringing to the table for change? That is what we need to articulate in order to get this organization's commitment, both as an organization, but more importantly, as individual members. I want to see the kinds of changes that are proposed here, but I need to know what I am going to ante up. If I am not anteing anything, then I need to know what it is that I am being asked to commit to. I want to commit something, but we need to articulate what that is.

MS. CLINE: Merrily.

MS. TAYLOR: I like some of the points that Ken Frazier made because they refer to specific actions that we can encourage and commit to. For instance, Johns Hopkins created a wonderful model project that we can use to look at and reflect upon. We could then go to the presidents of universities that have presses and impress upon them that that project is something to emulate and build upon, and discovering the characteristics of that project that are of value would be a useful role that ARL could play.

I will just add one other point. A few years ago, Brian Hawkins from Brown was delivering a talk, which he gave to several organizations. He was, in fact, talking about a model for a consortium. One thing he suggested was to have all of our institutions take one percent of our acquisitions budgets, pool those resources and devote them to electronic publishing. Furthermore, he pointed out the need to lobby in Washington to encourage the government to make their back files accessible. It might be time to resurrect some of those ideas and see if there is anything preferential here. He was hoping for foundation funding to get that model off the ground, but that did not happen.

MS. CLINE: Well, you see this is one of the realities that the Board came up against. If we are looking at large numbers of zeros to manage an enterprise, whether it comes from venture capital, staff resources, ARL budget, or soft money, for all of these, even soft money, somebody in ARL has to pursue the grants, manage the expenditures, and so on. So, as we began to look at some of the practical aspects, we then realized that we needed to do some more consulting with members before committing such resources.

MS. MOBLEY (Purdue University): I think we are at the beginning of something and don't know where it is going to go or how it is going to be shaped, but, when I originally read the document, I was pleased with some of the direction there, because, like Carlton Rochelle, I have the responsibility of the

university press. I was challenged by the executive vice president to move to a different model. He didn't tell me to look at the Hopkins model, but that was the one I pulled out. I think many of us will be challenged to have these types of relationships and be aggressive in the change in scholarly communication on campus. We need to keep the conversation open.

(From the Audience): Admittedly, this straw proposal document is brief and carries no specifics. I can understand why it is confusing, given the reams of very specific papers that preceded it. What we were looking for and what, I think, we have heard, is that, in fact, you do want the Board to continue to move forward. I have not heard anyone object, and, given the number of conflicting messages we were receiving in a short period of time, we really wanted a check of the membership. This is something we want to pursue; I have not heard anyone say otherwise.

MS. CLINE: I agree, and that reminds me. I need to allow private space, in case there is a vehement opinion that doesn't want to appear in the meeting proceedings. So let me take Paul's comments, and then we will go into five minutes of writing time to develop your comments.

MR. MOSHER: I agree with the comment before that we are five years away. We really are looking at some national organization but this kind of policy has to evolve for another five years. On the other hand, I think that our presidents are looking for us to be activists in moving this agenda forward. When I spoke a few minutes ago, I made it absolutely clear that the library will be a key player in moving this agenda forward. I think there are things that we can do locally now to give our presidents comfort that that is happening. What we need to do is act locally and show that we are involved, and we are going to make a change. I am not confident that it is time for some national organization or involvement to evolve.

MR. WEBSTER (ARL): We have two distinct capabilities here that are important to our future: ARL's Office of Scholarly Communication and the Coalition for Networked Information. How we task them, what we ask them to do, and how we employ them are going to be very important. It is notable to see both Mary Case (ARL's OSC) and Paul Peters (CNI) working together to support this discussion to help us both to express what is needed and then to be available for us to pursue that need.

(From the Audience): I am concerned about having a national organization to do all this instead of entering into collaborative discussions at this point. I also have a press, and I know that the people in scholarly presses are not overly happy that we think we can have lengthy discussions like this without including them. I think we need to start a collaborative discussion. Therefore, I was very concerned about the great deal of ambiguity in the participant section regarding the involvement of individual presses and individual libraries versus national organizations. I believe that we need to build on the existing relationships or create a new cooperative environment that will allow key players of national organizations that are concerned with this issue to think together.

MS. CLINE: I believe that ARL has been reasonably successful at creating those relationships. What we heard rather clearly is that we needed an initial conversation among ourselves that respected our role as libraries in order to make certain that we were comfortable in these broader, collaborative enterprises. Some of our members are working with university presses, others with different consortia, and many of the scholarly associations. We are keeping those relationships going, but the reason we brought this up in our business meeting was so that we could have a little time for ourselves. We have heard a variety of perspectives.

MR. WEBSTER: We do have a partnership with AAUP and ACLS. There is a joint symposium that Mary Case is designing for next year, probably in June or July. We also have several joint projects before AAUP and ACLS that help us talk about these issues together. So we will continue to go down that path of seeking opportunities for collaborative discussion.

MS. CLINE: My only disappointment is that we didn't have about another 20 minutes because I think we hit some issues and were just beginning to get the feel of how important they could be. We will get some sort of a summary to members as quickly as possible, partly also for those who had to leave early.

Closing Remarks

MS. CLINE: In closing, let me say that this meeting could not have been as successful as I feel it has been without the wonderful help of Mary Jane Brooks, who makes all sorts of things come together. We really value that talent, and that of all the ARL staff, whose knowledge and commitment throughout the year has brought us to a point where we can come to these meetings, effectively engage in the most important parts of our discussions, and really keep the business of the Association moving forward. It makes it a wonderful Association to preside over.

Many of you stopped me and told me that you thought yesterday's meeting was a very productive session, but I have to say I didn't really have that much of a hand in shaping it. I need to say thank you to Paul Kobulnicky, the Management Committee, and the ARL staff who pulled an awful lot of yesterday's pieces together. That also signifies to me how well we work as a team. So, to all of you who helped make yesterday such a successful part of this meeting, I give my thanks, but also know that many of your colleagues really appreciated it.

At this point, I would like to present our new president, Gloria Werner, with the gavel. Gloria.

MS. WERNER: It is an honor and a privilege to accept this gavel, Nancy, and in return, I want to give to you a very small token of the esteem held for you by everyone in this room, and certainly the Board, for your superb service as our president this last year.

(Applause)

MS. CLINE: Thank you.

MS. WERNER: For those of you who know me well at all, you know that participating in groups that don't do much is not anything that I condone. When I agreed to be on the ARL Board it intrigued me, and I asked myself if I really could say if this is an action-oriented group or not. You understand, you are all on various different councils, committees, and the like. Serving on the ARL Board has been a true educational experience. It is more stimulating than anything I have ever done professionally, and I think it is truly remarkable.

I have tried to sort out in my mind why that is. I think this morning was a good example. We are grappling with truly critical and important issues that impact not just our libraries but our institutions and the shape of things to come. I think that to the extent that we can come together and do that effectively is to everyone's benefit.

The other marvelous thing about the Board, and certainly the membership at large, is the collective brainpower. I think you see it in the hard work of the committees; you will definitely see it on the Board. Then the third thing Nancy touched on beautifully is the fact that we have a superb cadre of super people at ARL headquarters and at absolutely all levels.

Nancy, you have converted me, and so have your predecessors. Nancy has done a most incredibly skillful, well-organized, and gracious leadership job this last year. I would like you all to join me in thanking her for that.

(Applause)

I only have one official thing to do at this meeting, and that is to adjourn you.

APPENDIX II
EARLY BIRD SESSION:
A BRIEFING ON JSTOR

Kevin Guthrie, Executive Director
JSTOR

INTRODUCTION BY

Elaine Sloan, University Librarian
Columbia University
and
Chair
ARL Committee on Scholarly Communication

MS. SLOAN: Good morning. It is a pleasure to welcome you and to introduce Kevin Guthrie, who will brief us on JSTOR.

Kevin graduated from Princeton University, where he majored in Chemical Engineering, and then he received an M.A. in Business from Columbia University. He is a co-founder of C.C. Sports Associates, a video products and computer software consulting firm. He was also a research associate at the Andrew W. Mellon Foundation and is author of the book *The New York Historical Society: Lessons from One Nonprofit's Long Struggle for Survival.*

A short time ago, JSTOR, an independent non-profit organization, was established with the assistance of The Andrew W. Mellon Foundation. In a relatively brief period of time JSTOR has moved in a remarkable way to become the service that Kevin will tell us of today. It is with great pleasure that I introduce Kevin Guthrie.

MR. GUTHRIE: I want to thank Duane Webster for inviting me here. Most of you know about the JSTOR (an acronym for Journal Storage) Project, so I won't spend a lot of time on the background, but I do want to provide some context by talking about the project's history, goals, and objectives. I then would like to spend some time talking about some of the things we have learned from the time this project started in early 1994. JSTOR has been listed internationally, and we have used the benefits available because of that; and I will talk a bit about the service we are prepared to provide and updates on where we are with publishers and pricing. That is an overview of what I hope to cover here.

As I said, JSTOR was started in early 1994, and is a product of The Andrew W. Mellon Foundation. Jim Blackman and Bill Bowen spearheaded the early stages to try to build a demonstration project that showed it was possible to have the back files of core journals and that there were opportunities for long term savings and shelf space. The idea they came up with was to build a prototype of archives with ten journals, five in economics and five in history, and to have those at a number of test sites. Originally there was a test at the University of Michigan. The test had 750,000 pages and the basic technology was an image-based technology, imaging the pages and then creating an OSR text file that would be fully searchable. We have taken the original works and put a lot more into it, but that is the basic starting point for the technology process.

As mentioned, we became an independent not-for-profit organization in August of last year. We are a 501(c)(3) charitable organization dedicated to helping the education territory deal with the advances in technologies. We have an independent Board of Trustees; this is a list of the board members: Dick De Gennaro, Librarian of Harvard College; Cathleen Synge Morawetz, Professor of Mathematics at New York University and the President of the American Mathematical Society; Bruce Simmons, president of SEN; Ira Fuchs, Chief Technology Officer at Princeton, and also our chief scientist; Bill Whitaker, the former Provost Emeritus and Professor of Business Economics at the University of Michigan; Mary Patterson McPherson, President of Bryn Mawr College; and R. Elton White, who was President of NCR before it was acquired by AT&T, so he gives us some business and technology management expertise.

I think there is a fair amount of confusion out there about exactly what and where JSTOR is and how it fits into other things. Some people think it is in Ann Arbor at the University of Michigan, and others think it is still at the Mellon Foundation. In reality, our Board is in the New York office, above the SIBL branch of the New York Public Library, with whom we have a nice relationship. We now are working with two universities. We started collaborating with just the University of Michigan, but now we also work with Princeton University. We have a duplicative database in its entirety at Princeton, because we wanted to show from the very start that we could replicate the system. It spoke for the protection of the data so that people would feel comfortable, but also to prove that we can do mirror sites. We will need to do mirror sites overseas; I tried to use JSTOR from Hong Kong, and it was insufferably slow, so we decided to first create a mirror site in the United States in order to find where problems may lie. Furthermore, in addition to people at Michigan, we also have software developers at Princeton working on the project.

Let's just quickly cover some of the objectives of our enterprise. First, as I mentioned, our basic mission is to help the scholarly community deal with the advances in information technology. Also, a primary objective or mission is to develop trusted archives of the core of general literature, emphasizing the conversion of entire journal back files. In every case we go back to the very first issue.

At one point we were contemplating mounting current issues and back issues together. Over the course of time as publishers we moved our emphasis entirely to the backlog. We will ourselves carry out three demonstration projects that deal with current journal issues, but in general we are going to work with other publishers and link with them to create search capabilities, and let the publishers take care of the current issues, staking out our area in the data backlog.

One very important aspect of JSTOR is that it is set up with a system market perspective. We think that there are opportunities for a win-win situation among all the actors in the scholarly community with this particular material. We are sometimes caught in between scholars, libraries, and publishers, but to assure that win-win situation is a very important part of what we are trying to do.

I am going to talk about most of these objectives in more detail as we go on, but I want to emphasize this last one, which is to provide data and to study the impact of electronically accessing these materials. You know, it was very interesting for me to be here yesterday and learn more about librarianship and libraries; one of the things that is obvious is that there is a need for data and for projects that will do something about that need.

It is very important for JSTOR to put out published information about what we do in order to help you understand what is happening with our particular project. I am totally in awe of the range of things that you all have to deal with when we start to talk about the electronic information and multi-media projects that have been coming. We are focusing on just one little part of what you have to do, and we have found our task to be quite complicated, but we are hoping that we can help you by taking at least that one part off of your plate.

One of the things we have learned is that it is a lot harder than you might think to do something like what we have done. When it started, Bill Bowen talked to Ira Fuchs and it seemed simple enough to scan the pages, put them in a database and then have access. You can hear somebody talk about the concept,

but when it comes to actually working it out, it is a whole different beast. So I will talk a little bit about some of the issues we ran into in the process. We do have over a million pages in the database now, and it has been quite a task.

Here are a couple of the highlights. The biggest difficulty for me has been that it was more than a full time job for the first eight to ten months of working on this project. It was dealing with publishers and encouraging them to participate, and you all know that everybody has a certain measure of fear about electronic technologies and how they may impact businesses. Even though we were dealing with backlog, a territory where publishers don't really get a significant amount of revenue, they are still worried about letting that aspect go. They are at the front of electronic technologies, and they think that just because the backlog doesn't create revenues now, that doesn't mean that it won't in the future. So trying to get publishers to participate has been a monumental task.

We then needed to answer the question, "What is a complete run?" Originally, again in the kind of simple mind way we thought about this project, we thought we could just go to a library, get past copies, and we would have the complete version. We had a relatively good relationship with Harvard, so we asked them if they could give us a complete run, to which they replied, "Sure, no problem." We bound them all up and sent them to where we were going to keep them, and, of course, when we did try to input the data, we discovered that they weren't complete. There were missing issues and missing volumes and pages torn out and all kinds of problems. That is not meant to criticize Harvard; it is only to say that there is nowhere to go where there will be all the pages. So then we went out looking for a publication record. But the record for *The Economic Review*, for example, didn't exist. So trying to figure out what a complete run is was another problem.

The fourth problem we ran across was how to organize information in a way that insures convenient accessibility. It is an incredibly labor intensive job, and that is just what we have learned. It involves actually organizing information, and getting it into a format that would be usable in an electronic system was extremely difficult. But, at the University of Michigan, we have developed an entire process for doing this. This is one of the areas where we can, I hope, be helpful as we learn more and more publishing because, for those of you who will be converting your own materials, I am sure it would be useful for you to know what we learned about and what kind of steps we took to get the material converted. For example, although you all have experience with microfilm, microfiche, etc., it is limited to organizing the materials to be sent out to someone else who does the converting. But we have an extensive quality control process on the back end of this project. Also, we have had to learn how to ensure quality performance once we do get good data into the system. How do you make sure that you have a system that is really usable, dealing with issues such as response time and printing? We have really made great progress in these areas.

We are in the process of developing a paper we can put forth regarding the production process, but in the meantime let me quickly go through the steps in that process. There is preparation, conversion, and then the actual deployment. In each step there are special tasks that need to be done. It is a much more complicated undertaking than we thought, as I have said. The first thing to do after we get a publisher to sign up is to have a final view run. Usually, we try to get it from the publisher, because, quite frankly, the publisher's run usually hasn't really been used, and so there is less likelihood of marked or torn pages than from a run that is publicly accessible in a library. We then go through every page of every journal. This is mostly done by students in the library school at Michigan who literally page through the entire journal looking for missing pages, pages that have marks, or pages that are otherwise unsuitable for the database. They then make note of these pages so that we will find replacements.

Then guidelines are needed for organizing information for the scanning process. It is very difficult to actually translate a table of contents, for example, from the paper world to the electronic world. What we needed to solve was how to make something, whether it is an article or an information table, usable when it is on a screen and completely out of context of the entire issue. For example, a general discussion, or sometimes even the title of the issue, can be meaningless without a context to work from. So you have to figure out a way to organize this material so that once it is whisked out of context the user has some sense of

what he or she is seeing for that particular citation. So that kind of work goes into preparing a set of guidelines for the people who are scanning the information, in order to create the usable database.

For the scanning process itself, we scan the pages in, creating images. Now, these images are just one of the databases that are a part of the JSTOR system. The second database is created when OCR rounds those images to create an unstructured text file. That text goes through two steps of error correction for quality control; we contract with the scanner to make sure there is at least a 99.95 percent accuracy. We do all this to make this text usable for searching. It is not to make this text usable to display on the screen; that is a whole other use, and it is much more expensive to get an accuracy that will allow it to be displayed on screen. So we have created a text file which is useful, but it is definitely a complement.

Once we have images that are 100 percent correct—perfect—then comes the searching text. There is a third keyed-in database, an electronic table of contents; it is all citation information, and if there is an abstract, it also gives the abstract. So, when a user searches words in a title, author name, or abstract, it searches the table of contents database, which is linked word for word to every article in the database. For instance, if you search for citation information, when you find the item, JSTOR knows exactly what page it is on and jumps over to the table of contents and asks to display the pages.

These images all end up on CDs and are shipped back to the University of Michigan, where they are uploaded into a main database. Right now they live on magnetic disk drive servers.

We learned several things during the process of this conversion. We may, for instance, run across difficulties in publication records, such as what happened with the *Review of Economics and Statistics*. In their first year it had issues one through four, and two supplementary issues. The next year there were four issues and one supplement. But then, in 1923, they had issues every month. So, if you were looking at the back file, didn't know its publication record, and saw that there were 12 issues in 1923, you may think that there were also 12 issues in 1922, but that we just didn't have them, or you may begin wondering whether you were looking at the correct information. If the record shows four issues for every year, people are comfortable. When it shows four, seven, twelve, and then four, it is a problem. So what we have had to do in this case is go back to the publishers and ask after their complete publication records. The record we now have goes back to 1973, but we know for a fact about the erratic record of the 1920s, and so we have to start asking libraries and try to compare. That is the kind of work that goes into this entity.

Another issue that comes up regards complex structures. For example, the *American Economic Review* may have the proceedings from a meeting in Akron, Ohio. There will have been six to eight papers presented at this meeting, but in the table of contents only the meeting title is listed. The papers are not indexed individually. This is why having a librarian specialist look at the information from the start to do a kind of intellectual preparation of the materials is so important, so when the librarian goes through the record he will find this kind of situation and tell us that, while typing in the index, we have to watch out in these issues for these papers requiring special treatment. In this case, the article is the entire proceedings, but we want to break down the article into the individual papers so that each one will be searchable by author and title. So there are indexing levels that are created that will allow these papers to be indexed as articles, and searchable as such. That is the kind of thing we have to do up front to get this right.

We now have a site on the Net: <http://www.jstor.org>. In the system you have options to search, browse, get help, etc. Browse just gives you an option to go in and look at your volume and issue numbers and see all the issues in sequence. You have the capability to search on the full text, the author, the title, or the abstract. We have tried to make the search form as easy to navigate as possible and to put as much self-documentation on the screen as possible. You can identify dates that you want to look at and put in what fields you might want to search. We have a listing at the top of the screen that says what you have searched for in each journal. Back on the shelf you would have to work your way through the issues to find the information; now you can put in a full text search on all the titles within the database, as far back as 1920 for the *American Economic Review*, or 1890 for the *Journal of Political Economy*.

Michigan also developed a process for making these journals very readable on-screen without the blotchy look that is so often seen from scanners. This is nice and smooth and clear. When you scan images at 600 dpi all the graphs, charts, subscripts, etc. come up and are readable, and if you print out the document it actually looks better than the original, especially if the original has been around awhile. The print-out is very crisp and very clear and very, very useful.

What does that offer for people? Well, I will answer that from a system-wide perspective considering scholars, publishers, and libraries, to talk about what we think are the benefits. First, obviously, there is the new level of searchability to which I just referred. You are getting access to information that was never accessible in this kind of unique form before. We are going to pay close attention to how this affects scholars. Yesterday there was a lot of discussion about whether or not undergraduates might benefit from these kinds of conversion processes, and I think they will, also. The availability of complete runs, the fact that these are all standard information windows in the desktop world, and that there are no missing issues are all benefits. Then our experience will benefit all advocates, if you will, who are all trying to collect titles in a discipline so that scholars can search across titles. Furthermore, as JSTOR goes forward and has some success getting publishers to sign up, there will be the capability to search across many different fields, all the way back to the first issues.

The benefits to the publishers are important. We believe that there is value in the publishing process, and we believe that there is also value in the branding, if you will, that exists right now. In scholarship, if somebody writes an article and knows, based on the quality of his or her work, that the article won't get into a particular journal, he or she will send it to a second-level journal or what have you. So there is a supply side efficiency, and there is obviously the real downside to this that no one can read the full volume of journals out there. But whatever happens to the publishers in the future, no one can question that, looking back, there were important titles out there that were published by publishers, and so we want them to participate.

The dissemination of published literature for which there is currently little economic return is something that we are doing, and something that no publisher would do. That is because it doesn't make sense to take this risk, except that we have all these resources, and we don't have to get a return on our investment. There it is: we are doing what publishers cannot do, both in that respect and in the fact that we are going backwards; we are doing a retrospective conversion. Furthermore, we can fulfill the mission to disseminate the material right off, whether or not we get any economic return, because all of this material is becoming available in a way it hasn't been before. We believe that there is a move towards the electronic publication of current issues. We are using that foundation to build upon. Basically, the concept is that we are giving the publishers a look at electronic publication, but with a set of materials that makes them less nervous than if we were using current issues. So I think we can get some compromising from publishers that we wouldn't be able to get otherwise.

In terms of benefits to libraries, I have talked a lot about access, the availability of entire runs, and the ability to build a block of collections. A lot of libraries have intermittent runs, caused by periods of time, like the war years, when libraries services were down. Also, small libraries may not have some runs at all. As I mentioned earlier, learning about new technologies for conversion and about what has been happening in electronic literature is very important, and we are committed to being open about this information, sharing with you and others in the community what we are learning.

We also think—and this is important—that collaboration will provide many opportunities for lower costs. If 2,000 libraries are all converting the same core titles, there will, of course, not be gigantic economies of scale. They all have converted the same material. But, if we can do that job once and share resources to do so, there will be savings, particular long-term savings, and everybody prospers. We believe very strongly that we have an opportunity to start a project that is really about archiving electronic information.

Admittedly, we are very new, and so everyone asks me how I can be certain that we will be here ten or 20 years from now. I can't answer that. So we have to prove over time that we will sustain ourselves, and so we will just wait for you, but if this is going to work we do need, obviously, people to jump in with us in the beginning. It is very important to emphasize that there are long-term savings in storage boxes, shelf space, operative costs, and in other areas, but we won't see them until we do the work. We will work very hard to demonstrate the dimensions of these long-term savings.

Demonstrating and actually getting out there, doing something, learning, and getting real data is very important. We have struggled for a long time to negotiate with publishers, and, with the emphasis on the back file. This is a quick count of journals that have signed up: seven in economics; eight in mathematics, including all the journals from the American Mathematical Society; six in sociology, including the journals in the American Sociological Association; about six in history; and four in the population of political science and eco-studies; the list goes on. We have now 42 titles. Essentially, we have broken through the barrier. We have shifted from going out to publishers and pleading with them, to publishers coming to us and telling us that they are interested in participating in the program. They want to be associated with the other titles we have and with this market, so our concern has shifted from how to get publishers to sign up to how can we get the material online.

There is no question that we parallel production processes at other places, and we are committed to becoming part of those in a union. There will be opportunities to do that at many places, and institutions will have a chance to learn more about this process by participating in this project.

So what is it that we are actually now unveiling? What are we doing? We are trying to get our libraries and institutions to commit to coming on board. We have gotten very enthusiastic responses. What is it that we are trying? Phase I of JSTOR is to have a minimum of 100 titles that will be converted and available within three years.

We are going to start out on the first of January, and I want to briefly talk about the one-time JSTOR development fee. We have a one-time database development fee, and then a continued fee for maintenance. Some libraries have asked why we don't just have an annual cost like every other vendor does, and the answer is that we are not like every other vendor. We are trying to convert something that nobody else is converting. Considering the economics, one sees that if there is a one-time fee for content and yet content is added all the time, the one-time fee isn't so bad. We will have different pricing for large, medium, and small libraries, because our goal is really to get as many people in the process as possible. A great number of people have told us that our future target of 750 libraries is too ambitious, but that is where our annual access fees will pay for the enterprise's recurring costs.

What exactly are the prices? These are the prices for the large libraries. The formula is the number of undergraduates enrolled in FTDs plus two times the number of graduate students enrolled. The idea is to reflect some of the research aspects of the institution, and there are cutoffs. We will continue to work on that formula and publish what we find. For charter publishers and libraries we offer a discount, trying to get people to participate. That would be a discount not only on Phase I of JSTOR but also for any other future phases. Just to highlight one example of such a discount is *Science* magazine. We are not going to put *Science* magazine into the main JSTOR because it is a gigantic task that will bring us to a halt, but we have been talking to the AAAS about linking in an electronic version of *Science*. If you think about what this is, even if JSTOR didn't have the other benefits for archiving and for giving information to the community, if you just talked about access, it is still a fair price. It would cost more for you to convert the complete runs of just two titles to microfilm.

Not to end on a difficult note, but the final thing I want to mention is that it is difficult being drawn into the vortex between publishers and libraries on issues of copyright, intellectual property, etc. We have to find compromises and opportunities; minor solutions to certain types of issues can't work for us, and so we try to figure out new ways to approach problems and other questions. Right now the access will be IP

address distributed. Hopefully, though, as technology evolves, we will help to see this access develop in more secure ways. There are many difficult issues to deal with.

We are going to start with a working term of three years, but we do want to assure you of our permanence. If JSTOR were to cease to exist for whatever reason, the data would still be delivered to the library in whatever the prevailing format was. We would not want libraries to move paper off the shelf and have it replaced or gotten rid of and then have nothing if JSTOR were not to succeed. As part of that, in all of our negotiations with publishers we have made sure that, although they have the right to withdraw from participation in this project, they cannot withdraw data from the participating libraries. In other words, whatever material we have converted and made accessible, according to the contract with our publishers, will still be accessible by anybody who has already purchased rights to it, even if they withdraw.

That was a very quick overview, so if any of you have questions I will gladly answer those now.

QUESTION AND ANSWER SESSION

(From the Audience): Two questions. One: in the fees, have you considered or will you consider multi-institutional consortia?

MR. GUTHRIE: Yes.

(From the Audience): The second question is, what is the JSTOR view on interlibrary loan?

MR. GUTHRIE: JSTOR is essentially one giant consortia of product information. We have created an economic model based on individual participants paying a certain amount, and that sum hopefully covers our cost. That having been said, we recognize that consortia exist and are being put together all the time. What we will do regarding that is sit down with the consortia and identify exactly what costs are consistently saved. Will there be one negotiation, and how much does that save everybody? How much does that save the system? Is there one set of people who would install the system at multiple locations? We will determine what the savings are and will pass them all along. We will be very open about how we determine that. We are happy to pass along the savings in the system, but we don't think that there are arbitrary ranges in discounts. We will work systematically through this question and offer the appropriate discounts.

We have often talked about interlibrary loan growth and we have learned a lot in the process. Basically, we would not want to be in a situation where one library would subscribe to the data and then ten other libraries would not participate in our collaborative enterprise because they were getting access to the material from that one library. Now, the libraries tell me that won't happen, that these are core titles, so I needn't worry. We are going to do whatever we can to encourage those people to come to our site and to go directly to the publisher, but having said that, we will also allow interlibrary loans and allow libraries to continue the processes that they have had. What we will try to do is to set up a period of, say, two years as a test when interlibrary loans are allowed, and ask you to help us collect data on how well it works. We are initially saying yes, but we will see what happens. What we don't want to happen is for individual libraries to serve other libraries; it will just end up hurting them because we will then have to raise prices to cover the costs. So we will work through this together, I hope, and test the proposition as to whether or not interlibrary loan will have a negative impact.

(From the Audience): Where does the division between current issues and the back file lie? Is it the same in every case, and do you have commitments of back files from all the participating publishers?

MR. GUTHRIE: Let me talk about just the concept of the current issues and back file collaboration. We are talking to libraries about how can we make a search from current issues go back through the back files. We have talked a lot with OCLC, as an example, about their ECO project, making it possible for people who come in and search on ECO to search through the journal's current issues right back to the back file. I talked a minute ago about *Science* magazine. Johns Hopkins University was about to sign up in an agreement with them that would make the journal fully searchable. That requires a certain collaboration between current issues and the back file exchange. That, though, is a case where there are current electronic issues; most of the people we are dealing with right now don't have that.

So what we have is a non-standard approach, unfortunately. Different publishers want different amounts of protection, but most of them end up putting "current" issues in a period of either three or five years. It is not a fixed date, as it is in the test projects, where 1990 is the stop date. Rather, it is a moving wall, so we can guarantee that archives are being taken care of as time progresses.

Enterprises, like OCLC, the University of Chicago Press, or Highlight Press, that are doing electronic conversions are not so keen on the moving wall concept because they are building a larger database of information. Basically, in the old days when there was only a paper inventory, only the current year was sold and converted. After that, libraries took over, for the most part. That is archiving. I think of archiving as an economic construct; it is data or information that you don't sell and you don't get return on.

That changes in the electronic realm. Publishers will say they are in the archiving business. Well, don't believe that; they are really in a deeper inventory business. Inventory is bigger in the electronic realms, and so what we then say to the publisher is that it is fine if they want to keep maintaining, as long as they continue to provide access to the material for a true, accessible archive. We will then agree to hold the wall at a certain point, but if they don't provide access for whatever reason, we ask that they turn it over to us, and we will be responsible for the archives. We will continue to be an archiver of this material.

Finally, one of the factors in the OCLC discussions is that we will take the whole database and package it into a different mechanical media, not an accessible one, but one used as a kind of "escrow" site for all the data to provide another level of protection.

(From the Audience): Kevin, it is reasonable to assume that, as people become used to using JSTOR, they will find that it is, indeed, a superior mechanism for journals than hard copy is. Therefore, this sliding wall between the paper and the electronic will not only become irritating, but the publishers will have to determine if they would like to publish in electronic form. How would you deal with that? Do you have any plans to enter the publishing business with this so that there eventually will be an electronic journal from the outset, or do you see there being a potential conflict down the way if the publishers go electronic, which will then draw from you?

MR. GUTHRIE: This is one of our big challenges. We have to work through those questions of seamless searchability with the "current" issues. We already have irritations, if you will, from users in the communities that get JSTOR asking why we don't have 1993 issues, for example. We are working toward that end. We have three demonstration projects where we will link current issues to back files, but we are not going to be in the current issues publishing business. So we are working with the publishers to seamlessly link these two sessions of data.

(From the Audience): Kevin, restricting access by IP address basically limits the access to campus use. Are you working to provide even an extended domain access, which is still probably not as much as we would need, but would at least be better?

MR. GUTHRIE: Yes, but we are also working on other units of individual access to databases, and we will work to help broaden these types of projects to deal with the issues that I talked about a minute ago. For instance, a faculty member who is an authorized part of the Stanford community didn't have access to

JSTOR from his remote location. That individual feels deserving of access to JSTOR, so we have to figure out a way to then be able to do that from different locations.

(From the Audience): What is the monitoring process to assure one print-out, one electronic copy per person? How is that governed?

MR. GUTHRIE: We will have some software thresholds that, when you receive it, it would be obvious if somebody is systematically downloading the database and trying to do something with it. This does happen, so we will pay attention to it. We won't, though, be running around trying to find every single black copy.

Thank you.

APPENDIX III

AAU/ARL GLOBAL RESOURCES PROGRAM

KEY ELEMENTS

September 1996

AAU and ARL staff met at The Andrew W. Mellon Foundation in early September to discuss plans for the Global Resources Program. On the basis of that conversation, ARL was encouraged to submit to the Mellon Foundation for consideration at their December 1996 meeting a proposal for funding to support the Program over three years. The following document describes the key elements of the preliminary proposal that was presented to the Mellon Foundation. It is based to a significant degree on the ideas outlined in the Tactical Plan for the AAU/ARL Global Resources Program, which have been of great interest to Mellon.

General Recommendations

- Create a Global Resources Program with a federated management structure, hosted by ARL in cooperation with AAU.
- Appoint a full-time coordinator for an initial three-year term with responsibility for continued development and improvement of the program.
- Launch an educational effort to inform faculty about the Global Resources Program and to build consensus on the proposed strategies for addressing needs.
- Establish an Advisory Council, which would include chief academic officers from AAU and ARL institutions as well as library directors and faculty, to guide the development of the program. ARL's Research Collections Committee will continue to provide policy direction for the program.

Program Expansion and Development of New Projects

The Global Resources Program will develop new projects with the goal of eventually covering all regions of the world. The first new projects, building on the lessons of the three pilots (Latin America, Germany, Japan), will focus on Southeast Asia and Africa. The specific needs and organization of each world area will determine the nature of the project, its priorities, and its starting point.

A key element of the Global Resources Program will be to identify collecting strengths of North American libraries, inventory linkages between them and libraries abroad, and locate Web sites that offer access to the collections of the world. Within all the projects a set of commitments will be developed, not only for collecting print resources, but also for developing and maintaining linkages with foreign institutions and identifying and making materials in a variety of formats accessible to scholars in any location. The Program will:

- identify "lead institutions" for each region, to collect and make accessible the range of materials defined in the first phase;
- encourage those institutions to pursue relationships with foreign publishers of newspapers, journals and books to enable them to make these materials available in digital form;
- inventory relationships between individual libraries and research institutes and/or libraries abroad, and define the role of these linkages in making resources more widely available;
- mount information about the commitments and linkages on the Web, and otherwise publicize them widely as well.

Outreach to Faculty and Scholarly Associations

Since the ultimate goal of the AAU/ARL Global Resources Program is to enhance access for scholars to core and ephemeral materials, the identification of priorities for collecting should be scholar-driven. Similarly, the network through which researchers will identify and gain access to resources should be scholar-sensitive, i.e., designed with the needs of the researcher in mind. This involvement of faculty in the design and implementation of the program, and the partnership of librarians and faculty in weighing the trade-offs inherent in reallocation of library budgets, will also help to bring about the culture shift that will be necessary if we are to have true cooperative collection development. The goal is to stimulate faculty to think differently about how they identify and access information and scholarship, to provide them with a reliable threshold of information, and to transform the role of libraries in the provision of global resources. Elements of outreach to faculty will include:

- conducting on-campus symposia and making presentations at meetings of scholarly associations, in order to communicate with librarians and faculty about the Global Resources Program and its implications for their research;

- collaborating with scholarly and library organizations to set national policy on issues of importance to the global resources arena;

- developing the Web-based protocol of library strengths, collecting policies and responsibilities of each participating institution, so that scholars, largely without mediation from librarians, can link directly to the resources they need;

- conducting a survey of area specialists, in cooperation with the Council of National Resource Center Directors (CNRC) of Title VI;

- conducting a survey to determine the new roles for and future supply of area librarians with all the necessary skills to design and coordinate the implementation of the Global Resources Program.

The Role of ARL and the Program Coordinator

As an umbrella structure for Global Resources, ARL will establish a Web-based clearinghouse, collecting information on all projects with relevance to the provision of global resources and encouraging linkages among them. Although there are many projects underway, information on them has not been gathered centrally, and ARL is in a good position to provide the leadership in this area.

The three pilots have demonstrated the importance of relying on a coordinator for the start-up period. The Program Coordinator for the Global Resources Program would provide ongoing coordination among the different projects and with regional and national resource sharing programs. Primary responsibilities will be to:

- assist libraries in the identification and description of area-specific resources held outside North America (e.g., in national libraries) and/or available in digital format;

- develop consistent descriptions of collection strengths and searchable collection policies for eventual mounting on the World Wide Web;

- determine the nature and extent of global activities of research libraries, especially the Library of Congress and The New York Public Library, and other library organizations such as the Center for Research Libraries (CRL), the Council on Library Resources/Commission on Preservation and Access (CLR/CPA), and the Research Libraries Group (RLG), and consider how they converge;

- promote participation by ARL libraries in the Program;

- publicize the program to the scholarly community and work with the American Council of Learned Societies (ACLS) to conduct a series of symposia;

- help provide training for area librarians;

- maintain close contact with and provide support to ongoing pilot projects;

- work with foreign area library organizations to develop new projects, beginning with Africa and Southeast Asia;

- identify funding agencies and assist with writing grant proposals;

- work within each project to develop measures of success and to evaluate progress.

Conclusions

The complex issues of access to global resources are being addressed in various ways by numerous organizations, but the efforts are not necessarily coordinated. The AAU/ARL Global Resources Program suggests a role for ARL as facilitator, through continued collaboration with AAU, and combines central coordination when appropriate (clearinghouse, Web development, etc.) with the encouragement for individual libraries, consortia, and area associations to become involved in this broadly collaborative effort. A major goal of the Global Resources Program will be to contribute to a more realistic set of expectations among all stakeholders.

ARL Strategic Plan on Government Information in Electronic Format

Introduction:

For the last several years, there have been a number of proposals from the public and private sectors calling for major changes to existing U.S. government information dissemination programs, such as the Federal Depository Library Program. And in Canada, the data liberation effort is moving forward. U.S. and Canadian proposals envision that dissemination of government information will be fundamentally different in the years ahead; thus a rethinking of current programs is needed.

ARL has a long standing interest in these issues. The majority of ARL members participate in the U.S. Federal Depository Library Program or the related Canadian program, and all members utilize government information, increasingly via the Internet. In addition, there is a strong incentive to keep as much government information in the public domain to avoid copyright concerns and new financial burdens in the future. ARL has been actively engaged in the U.S. information discussions and in various legislative initiatives. ARL's activities in related Canadian initiatives have been focused on the ARL GIS Literacy Project. Complementing these efforts, the ARL Information Policies Committee sees great value in the development of a strategic plan for the Association on these critically important issues that will benefit students and researchers on our campuses.

On May 1, several ARL directors and government information specialists participated in a strategic planning session on government information issues, with a particular focus on electronic information. The discussions built on related efforts such as the ARL Task Force on Government Information in Electronic Format, the Dupont Circle Group and Chicago Conferences on the Future of Government Information, the "Framework for Enhanced Access and Dissemination of Federal Government Information: A Vision for the Future," and the ALA Forum ," Model for a New Universe of Federal Information Dissemination." The following document reflects those discussions and presents a plan of action for ARL in the government information arena. During the May membership meeting, members of the Information Policies Committee approved this plan.

A four point plan is proposed that focuses on education, data gathering, continued political advocacy and policy leadership, and the initiation of pilot projects and collaboration with others in the development of new models.

ARL Strategic Plan: Proposed Actions

1. Education

ARL should initiate an educational campaign on these issues to both position the ARL community and to maximize current and future investments in this arena. This campaign should address issues relating to the importance of continued access to government information in support of research and education and create an awareness of the changing political environment. This campaign would be directed at multiple communities including scholarly societies, selected federal agencies (e.g. GPO, statistical agencies), and within our campuses. Specific activities to support such a campaign include:

- Publish and discuss the ARL plan with various constituencies;
- Meet with GPO and discuss the implications of the GPO Strategic Plan (3/96);

- Meet with the statistical agency working group and with other related agency forums (e.g. CENDI); and

- Capture the critical importance of government information issues to multiple communities in a brief ARL publication. Distribute this publication with a copy of the ARL Strategic Plan to appropriate scholarly societies and meet with members of these societies.

2. Data Gathering and Analysis

In evaluating and reviewing the impact of various proposals and plans, it will be important to gather and analyze data and to identify issues of keen importance to the research library community. Library and university administrators will need information regarding the costs of acquiring and servicing government information resources. There will also be the need to establish benchmarks for evaluation of institutional investments. For example, what technical problems currently exist within ARL institutions in the delivery of government information? The GPO proposal calls for a significantly different approach to the archiving and long term access to government information. And the National Archives and Records Administration is circulating a draft strategic plan, "Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration 1997-2007." What are the implications of these proposals for ARL institutions? And, are there external sources of funding that would support some of these studies?

- Could a competitive grant program for related studies be instituted?

- Will there be NII follow-up funding via federal programs?

- Should ARL initiate ARL/OMS Studies? e.g. follow-up to the ongoing CNI study conducted by Joan Cheverie, Georgetown University.

3. Political Advocacy/Policy Leadership

ARL is already very actively engaged in the political debates regarding U.S. federal information dissemination. The involvement in related Canadian discussions has been limited to the ARL GIS Literacy Project. To enhance these efforts, several complementary activities are proposed.

- There is a need for greater articulation of ARL's advocacy position on these issues. For example, there are concerns that ARL members could take on new responsibilities in this arena or yet another "unfunded mandate." Second, ARL's positions on these issues may not always be in full agreement with other communities. Finally, what is the consensus view regarding the future of the federal depository library program - will it be a federal information access program or continue within the current model of a depository library program?

- With others on campus or in the community, ARL directors are initiating discussions on copyright and intellectual property issues. One outgrowth of these discussions in some institutions is the development of enterprise-wide copyright and intellectual property policies. Similar discussions regarding the importance of government information to the research and education community could be initiated. Developing an awareness of how government information is routinely used to benefit the research and education community, indeed is crucial to the enterprise, would engage new partners in these discussions and lead to heightened understanding of relationship between government information and copyright issues.

- ARL directors could invite members of Congress to ARL libraries when on campus to discuss both copyright issues and government information issues. This would hopefully give members of Congress a greater appreciation for the library perspective and current investments in promoting access to government information resources.

4. Pilot Projects/New Model Development

The evolution of a North American strategy for access to government information requires engaging key partners to develop a framework to both initiate and coordinate pilot projects and also to evaluate new models for the creation, distribution, access, use, and preservation of government information.

- Convene one or more sessions with key players who are exploring new models or programs (e.g. CIC, OCLC, key federal agencies);
- Encourage the development of pilot projects in one or more areas (e.g. statistical information, resources in health, environment, and the like);
- Evaluate and promote standards, consistent user interfaces, and the like; and
- Consider the applicability of the ARL GIS Literacy Project model and the applicability of "GIS" to selected pilots.

PSA 7/18/96

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APPENDIX V

AN ENABLING INFRASTRUCTURE FOR NON-PROFIT, NETWORKED SCHOLARLY COMMUNICATION

A Straw Proposal for Discussion at the Fall 1996 ARL Business Meeting

INTRODUCTION

This straw proposal is intended to help focus discussion of new ways by which ARL might work with organizations such as the American Association of Universities (AAU), scholarly societies (especially the American Council of Learned Societies), university presses (and the Association of American University Presses), and a wide variety of other partners to advance the interests of non-profit scholarly communication and publishing.

It proposes that a new, broadly participative activity be undertaken to provide a vehicle by which a group of collaborating organizations might pursue common purposes through joint efforts formulated using shared principles to facilitate the transition of non-profit publishers, be they university-based or not, to the networked environment.

The ARL board is seeking a sense of the membership regarding whether this straw proposal is an appropriate direction in which ARL should try to move with its many partners. The board is also seeking feedback on and suggestions about the specifics of this straw proposal. This is an iterative process, and you will be consulted before the board takes any additional steps.

The following proposal builds upon the foundation provided by the *ARL Electronic Scholarly Publishing Discussion* packet of documents that was distributed to the ARL members on October 3, and it reflects the discussion of those documents and related matters since then by, principally, the ARL Board and the ARL Scholarly Communication Committee.

A 90 minute plenary session with small group discussions of this straw proposal during the ARL Fall 1996 Business Meeting on the morning of October 18 will provide invaluable input to the ARL Board when it meets the afternoon of the same day to consider how best to proceed.

It will also help to formulate the key messages that various ARL representatives will carry into a session on "universities in the rapidly evolving digital environment" at the AAU meeting in Los Angeles on October 21.

PURPOSES

1. Ensure maximum access by users and maximum market for providers.
2. Improve the flow of and access to scholarly information.

3. Influence the economics of the provision of scholarly information.
4. Contribute to a more competitive and balanced marketplace.
5. Exploit emerging technology for the benefit of education and research.

CHARACTERISTICS

Participants

1. Colleges, universities, and other research and educational institutions.
2. Individual (academic) libraries and (university) presses.
3. Scholarly and scientific societies.
4. Others willing to contribute to the purposes and embrace the principles of the activity.

Principles

1. Use and reuse of intellectual property to promote access.
2. Pricing strategies and levels that provide incentives to creators and others.
3. Inter-operating platforms, products, and services.
4. Archiving of networked information for the long-term.

Functions

1. Promote purposes and principles through "brand" identification and marketing.
2. Form panels to hear and offer recommendations regarding differences / disputes.
3. Adopt (develop) and implement guidelines, best practices, and technical standards.
4. Write grants, and develop venture capital pools.
5. Disseminate (conduct) technological, economic, public policy, etc. research

DISCUSSION QUESTIONS

Please use the space provided below to pose questions, to record thoughts, and to offer suggestions (continuing on the back side, if needed), and then remove and return this page to an ARL staff member.

1. Is this straw proposal a useful direction for ARL and its members to pursue? How could it be made more useful? Is there some other way in which you think that ARL should be trying to advance the interests of non-profit scholarly communication and publishing in the networked environment?

2. What about the specifics of the straw proposal? What do you like and dislike about it? How could it be made clearer?

3. What are the next steps that ARL should take in this process? With whom should ARL take those steps? What priority should be assigned to this initiative? What models for action suggest themselves?

4. What do you see as the incentives for institutions, individual libraries and presses, scholarly societies, and others to participate in the collaborative activity envisioned by the straw proposal? How can those incentives be created for the parties involved? What should ARL's role be in creating them?

APPENDIX VI

ASSOCIATION OF RESEARCH LIBRARIES

REPORT ON ASSOCIATION ACTIVITIES
MAY-SEPTEMBER 1996

Highlights of ARL program activities since the May membership meeting include:

OSC Partners with CNI to Track Consortia

Directory of E-Journals Tracks Explosive Growth in Internet Publishing

Strategy Adopted to Address Government Information in E-Formats

ARL Board Encourages Ongoing Discussions on Intellectual Property with the Higher Education and Scholarly Society Communities

ARL Publishes *Copyright & NII, Resources for the Library and Education Community*

AAU/ARL Rethink Strategy to Promote Electronic Scholarly Publishing

NAILDD Implementation of ILL Protocol Expands to Europe, Australia

ARL, CNI Support NINCH

Deborah Jakubs Appointed VPO to Develop Global Resources Program

ARL Collaborates with MLA, AHA on Preservation Issues

Diversity Program Redefined; DeEtta Jones Appointed Program Officer

OMS Launches New Information Service: *Transforming Libraries*

Developing Indicators for Academic Library Performance, 2d edition Issued

Timothy Jewell Appointed VPO to Assess Measures of Library Spending on E-Resources

ARL Web Page Expanded

NEH Funds New Phase of NRMM Project

VPO Opportunities Identified

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- 1.1.1 Scholarly Communication Committee
- 1.1.2 Firm Subscription Prices Working Group

1.2 Federal Relations and Information Policy Development
- 1.2.1 Committee on Information Policies

1.3 Intellectual Property and Copyright Issues
- 1.3.1 Working Group on Copyright Issues

1.4 AAU/ARL Action Agenda
- 1.4.1 AAU/ARL Research Libraries Steering Committee

2. Access and Technology (Objectives 2 and 5)

ARL Objective 2: To make access to research resources more efficient and effective.
ARL Objective 5: To assist member libraries to exploit technology in fulfillment of their mission and assess the impact of educational technologies on scholarly communication and on the role of research libraries.

2.1 Access and Technology
- 2.1.1 Committee on Access to Information Resources
- 2.1.2 Work Group on Scientific and Technical Information

2.2 Coalition for Networked Information
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2.3 HEIRAlliance

3. Collection and Preservation (Objectives 3 and 4)

ARL Objective 3: To support member libraries' efforts to develop and maintain research collections, both individually and in the aggregate.
ARL Objective 4: To support member libraries' efforts to preserve research collections, both individually and in the aggregate.

3.1 Collection Services
- 3.1.1 Committee on Research Collections
- 3.1.2 Committee on Preservation of Research Library Materials

4. Staffing and Management (Objectives 6 and 7)

ARL Objective 6: To identify on an ongoing basis the capabilities and characteristics required for research library personnel to best serve their constituencies, and to assist member libraries and educational programs in the recruitment, development and effective use of staff.
ARL Objective 7: To assist member libraries in augmenting their management capabilities.

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- 4.1.1 Committee on Diversity

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5. Performance Measures (Objective 8)

ARL Objective 8: To describe and measure the performance of research libraries and their contributions to teaching, research, scholarship, and community service.

5.1 Statistics and Measurements Program
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Section 1: Scholarly Communication and Information Policies

1.1 Office of Scholarly Communication

The objective of the Office of Scholarly Communication (OSC) is to maintain and improve scholars' access to information. OSC undertakes activities to understand and influence the forces affecting the production, dissemination, and use of scholarly and scientific information. The Office seeks to promote innovative, creative, and alternative ways of sharing scholarly findings, particularly through championing new and evolving electronic methods of recording and disseminating academic and research scholarship.

The Office also maintains a continuing educational outreach to the scholarly community in order to encourage a shared "information conscience" among all participants in the scholarly publishing chain: academics, librarians, and information producers. The activities of this office build on the results of the ARL Serials Prices Project as well as interest and research ongoing in the profession. The capability is advanced and OSC receives guidance through the work of the ARL Committee on Scholarly Communication.

Initially created as the Office of Scientific and Academic Publishing, the capability was renamed in spring 1996. Mary Case became Director of the Office of Scholarly Communication on June 1.

Summary of Activities

Activities between June and October 1996 have included participation in the process to redefine a proposal for collective action by the AAU and ARL in support of electronic scholarly publishing, planning for the evolution of the *Directory of Electronic Journals*, and beginning the process for collaborative projects with the AAUP, AHA, CNI, and COSLA.

Collaborations to Promote Scholarly Communications: Projects and Programs

AAU/ARL Research Libraries Project. At its April 15 meeting, the AAU/ARL Research Libraries Steering Committee concluded that the Electronic Scholarly Publishing (ESP) Program, proposed by the AAU/ARL Intellectual Property Task Force, although descriptive of what universities should be doing, was not the kind of collective action the Steering Committee was seeking. The ESP replicated current activities rather than advancing or complementing these efforts. The Steering Committee discussed revisiting a definition of collective action in the context of other discussions underway within AAU about higher education's need for expanded network capacity. These discussions have resulted in the development of a new proposal, the International Scholars Academic Network (IScAN).

Drafted by a Working Group of the ARL Board with the help of Paul Peters, Executive Director of CNI, IScAN is currently being developed at Board direction for broad discussion by the membership at the October meeting. The OSC is participating in this development process. (See Section 1.4)

Networked Information Consortia. OSC will co-sponsor a website with CNI and, tentatively, the Chief Officers of State Library Agencies (COSLA) that will facilitate access to and analysis of information about networked information resources and service consortia. Also under discussion are plans for the three organizations to co-sponsor a program, "Networked Information Consortia: Strategies, Models, Projects," to be held in conjunction with the Spring 1997 CNI Task Force meeting. This program will address the management issues involved in creating, funding, and maintaining consortial networks.

The Future of the Scholarly Monograph. ARL will co-sponsor with AAUP and ACLS, and perhaps others, a symposium on the future of the scholarly monograph. A program planning committee is in the process of being appointed. The program will be held in June or July 1997.

Endangered Monograph Project. OSC is working with the American Historical Association to develop a proposal for a project on the endangered monograph. A project outline will be available for discussion by the Scholarly Communications Committee at the October meeting.

Program on Licensing. OSC is developing a program on licensing to be held in San Francisco on December 8 and 9, 1996. The program will be held in conjunction with the CNI Fall Task Force meeting.

Publications

ARL Directory of Electronic Journals, Newsletters, and Academic Discussion Lists. This project advances electronic/Internet publishing of journals and has become the standard reference book in its area. The e-journal/newsletter directory has experienced enormous growth. The listings in the sixth annual edition, published in 1996, increased 150% over the fifth edition.

The increase is attributable primarily to two factors. First, Netscape offers an exciting and easy way to present non-textual materials, such as images, and is widely available to producers and readers, as well. More individuals and small organizations have been attracted to the e-medium for serial publications. Second, print publishers' prototype projects for e-versions of their current journals are beginning to come online. The entire journals lists of a handful of publishers are now or shortly will be available through the WWW.

The majority of the actual research and keying for the e-journals sections is carried out by three interns from the Library and Information Science Program at Catholic University: Jennifer Page, Colleen Keller, and Ann Doty. The project is directed by Dru Mogge, Electronic Services Coordinator.

An abbreviated version of the *Directory* will be available on the Web this fall. Discussions are underway to revise the *Directory* for next year with a view toward producing a full Internet version. In addition, a large marketing campaign has

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been undertaken to increase sales of this year's edition. A brochure was designed to promote the *Directory* beyond the research library market.

(See also Section 6.2.2)

1.1.1 Scholarly Communication Committee

This committee was established in February 1991 by the ARL Board of Directors to help the Association understand, contribute to, and improve the system of scholarly communication. The committee is charged to monitor developments, determine critical issues requiring ARL attention, inform members, and design strategic responses that can serve to influence the future of scholarly communication. The Committee also advises and guides the ARL staff on matters regarding the plans and strategies of the Office of Scholarly Communication.

Between the May and October 1996 ARL meetings, the committee has worked primarily to respond to the IScAN proposal and to provide advice and assistance to the new director for the Office of Scholarly Communication.

Members:		
	Joe Boisse	(1994-1996)
	Scott Bennett	(1996-1998)
	Susan Brynteson	(1996-1998)
	Eileen Hitchingham	(1996-1998)
	Sharon Hogan	(1996-1998)
	Margot Montgomery	(1995-1997)
	Carole Moore	(1995-1997)
	Carlton Rochell	(1995-1997)
	Elaine Sloan, Chair	(1996-1997)

Staff Liaison: Mary Case

1.1.2 Firm Subscription Prices Working Group

To assist in efforts to obtaining firm serial subscription prices in a timely fashion, the Board approved formation of a working group under the aegis of the Scholarly Communications Committee. The group consists of volunteers who offered their services to ARL to work on this issue. Its objectives are to 1) establish a process of identifying firm price requirements by ARL libraries, and 2) establish a dialogue with the vending and publishing community to attain prices for the subscription year by August or September of the previous calendar year. While actively sponsoring publisher and vendor meetings in its early years, for 1996, it is expected to monitor developments in a low-key activity mode.

Members:
Tony Angiletta
Robert Holley
Scott Bennett
Paula Kaufman
Sue Martin
Dale Canelas
Charles Miller
Lois Ann Colaianni
Emily Mobley
Merrily Taylor
Sheila Creth
Jim Neal
Fred Friend
Barbara Smith
Paul Gherman
Graham Hill
Carla Stoffle
Sharon Hogan

Staff Liaison: Mary Case

1.2 Federal Relations and Information Policy Development

The Federal Relations and Information Policy Program is designed to: monitor activities resulting from legislative, regulatory, or operating practices of international and domestic government agencies and other relevant bodies on matters of concern to research libraries; prepare analyses of and responses to federal information policies; influence federal action on issues related to research libraries; examine issues of importance to the development of research libraries; and develop ARL positions on issues that reflect the needs and interests of its members. This capability is governed by the ARL Information Policies Committee. The ARL Working Group on Copyright Issues plays an advisory role with regard to Copyright and Intellectual Property Issues.

The *Federal Relations Notebook* (ARL/FRN) is now available via the World Wide Web at <http://arl.cni.org/info/frn/info.html>. Ann Doty, Research Assistant, reconfigured the *Notebook* for the Web during the summer months. ARL/FRN is intended to help ARL members keep abreast of the legislative landscape, as well as the rapidly changing

issues, players, legislative vehicles, and priorities within the U.S. and Canadian federal governments. The ARL/FRN also provides a framework for the Federal Relations E-news distributed to the ARL Directors by the Executive Director. These monthly Federal Relations E-news are written by Prue Adler and edited by Patricia Brennan and they complement occasional action alerts to members on different topics.

Summary of Activities
The priorities of the capability are:

- copyright and intellectual property issues;
- government information issues;
- telecommunications, networking, and digital library issues; and
- other issues of importance to research libraries such as appropriations of selected federal agencies.

Copyright and Intellectual Property
(See Section 1.3)

Information Policy Legislation and Related Activities
Government Information Dissemination. Several Congressional initiatives are underway to reconceptualize access to government information. ARL staff met with Congressional and Executive Branch staff to discuss these proposals. ARL, with others in the library community, has responded to numerous GPO proposals, including the Government Printing Office Transition Plan. Prue Adler, as a member of the Advisory Committee, assisted the GPO on how the agency could move to a more electronically-based program. With others in the library community, ARL responded to the GPO plan and participated in numerous discussions with members of the executive and legislative branches regarding changes to Title 44.

On May 1, several ARL directors and government information specialists participated in a strategic planning session on government information issues, with a particular focus on electronic information. An ARL Strategic Plan on Government Information was drafted and reviewed by the Information Policies Committee. The ARL Board of Directors approved the plan at the July 1996 meeting of the Board of Directors. The four-point plan focuses on education, data gathering, continued political advocacy and policy leadership, and the initiation of pilot projects and collaboration with others in the development of new models. The Plan is available via the World Wide Web at <http://arl.cni.org/info/frn/gov/stratplan2.html>.

Influencing Agency Information Programs. ARL continues to collaborate with others in the public interest community and with agencies in implementing the Government Information Locator Service (GILS) proposal. GILS provides a framework and common approach for federal agencies to make their information resources publicly available. ARL staff worked with NTIS on implementing their dissemination program, with a particular focus on depository library issues. NITS has proposed a pilot project for 20 federal depository libraries to receive NTIS resources electronically.

ARL GIS Literacy Project. The project seeks to educate librarians and users about GIS as well as to develop GIS capabilities in research libraries. Background materials related to this project are now available on the ARL website, including a database of all project participants. The number of libraries participating in the ARL Project continues to grow.

Prue Adler participates in numerous discussions and conferences related to the development of a national spatial data standard and issues relating to access to GIS resources. The increasing reliance upon GIS by multiple communities including government agencies and members of the academic and research communities indicate the need for research librarians to be well situated to provide access to the growing array of digital cartographic and spatial information. Prue Adler is a member of the Board of the National Center for Geographic Information and Analysis (NCGIA), an NSF-sponsored consortium.

Telecommunications, Networking, Digital Libraries, and Related Activities
Telecommunications. With the passage of the Telecommunications Act of 1996, ARL's focus in this area now includes working with agencies to implement NII programs, responding to NII proposals, and collaborating with others in the education, library, and public interest communities to promote common positions.

ARL continues to participate in the challenge to provisions included in the Telecommunications Act of 1996, those provisions regarding restrictive access to selected information resources. ARL actively opposed provisions included in Title V, the Communications Decency Act (CDA), of the Telecommunications Act of 1996 that sought to prohibit access to indecent or patently offensive materials via the Internet. These provisions would impose fines and criminal penalties for transmitting and/or providing access to these resources. ARL, as a member of the Citizens Internet Empowerment Coalition (CIEC), is challenging the CDA in court. Several courts have ruled that provisions in the CDA are unconstitutional and overly broad. These cases are slated to be heard by the Supreme Court.

ARL reviewed and endorsed ALA filings before the Federal Communications Commission on discounted rates for schools and libraries.

Networking and Digital Libraries. ARL staff worked with agencies in designing and proposing network applications programs, such as the NASA Information Infrastructure Technology and Applications Program, the NSF/ARPA/NASA digital library initiative (DLI), and the NTIA TIIAP program. This included working with staff of Appropriations Committees in support of these programs. Prue Adler participated in the EOSDIS Users Report, an evaluation of user information needs for global change data; in Project Alexandria, an NSF/ARPA/NASA Digital Library Initiative; in

meetings of the High Performance Computing Coalition regarding continued support for HPCC programs; and participated in NSF network-related efforts.

ARL staff participated in follow-up discussions to the conference Monterey 1995, "Higher Education and the NII–from Vision to Reality." The conference explored the steps required over the next few years to turn the potential of the advanced information infrastructure into a reality for higher education. FARNET, CNI, and others have sponsored several sessions focused on next generation networks. Duane Webster, Prue Adler, and Paul Peters have participated in these discussions.

Appropriations
Given the early departure by Congress, it was unable to complete action on many appropriations bills. ARL staff have worked in support of selected agencies' FY 1997 appropriations, including those of the Library of Congress, GPO, NEH, NTIA, NSF, and the Department of Education. A comprehensive spending bill, which has passed the House and is under consideration in the Senate, includes FY 1997 funds for all those remaining agencies, such as NEH, to avert another federal government shutdown.

LC/GPO. ARL, ALA, and AALL submitted statements to the House and Senate Appropriations Committees on behalf of the Library of Congress and the Government Printing Office FY 1997 budget requests. ARL continues to be very active on this appropriations bill to ensure that needed funds are available to both agencies.

National Endowment for the Humanities. FY 1997 appropriations for NEH have not been completed. Letters and calls from ARL directors have been very helpful in the House and Senate deliberations on the NEH budget.

National Telecommunications Information Administration, Department of Commerce. TIIAP faced significant hurdles in the Senate appropriations discussions. ARL's efforts focused on increasing the Senate TIIAP figures at least to match the higher House figure. The NTIA/TIIAP is a program that supports library, education, non-profit, and state and local government information technology projects.

National Science Foundation. ARL worked with others in the higher education community in support of the NSF FY 1997 budget request, with a particular focus on the CISE programs and reauthorization of the agency. ARL, as a member of the Consortium of Social Science Associations, submitted a statement in support of the FY 1997 NSF budget request. ARL is now a member of the Science Coalition and the Coalition for National Science Funding (CNSF).

HEA. ARL worked with a coalition of higher education groups and associations in support of HEA Title VI FY 1997 appropriations before the House and Senate.

Non-Profit Advocacy. ARL joined a coalition of over 800 non-profit groups to oppose language in appropriations bills that would severely restrict the ability of non-profits to work with others in the executive and congressional branches of government. Activities such as filing the amicus brief on the Texaco decision would be prohibited if such provisions were enacted.

1.2.1 Committee on Information Policies

At the Committee's meeting in October 1995, members discussed FY96 priorities and requested that staff continue to focus on and respond to these ongoing issues, including: copyright and intellectual property; government information dissemination programs with the understanding that an investment in maintaining more government information in the public domain will, in the long-term, have an impact on ARL's needed investment in copyright and intellectual property; telecommunications and networking issues, with a particular focus on digital library applications; and support of agency programs that are of direct importance to research libraries, including those that promote digitizing research library resources.

1996 Agenda of Issues:

- Advise on the development of ARL positions
- Monitor and assess other government policies that may have an impact on research libraries
- Advise on efforts to strengthen ARL's capability to communicate with policymakers

Meetings planned in 1996:
Meeting in conjunction with the ARL membership meetings in May and October 1996. Telephone consultations and e-mail conferences will continue as needed.

Members:	Jerry Campbell	(1996-1998)
	Sheila Creth	(1996-1998)
	Kenneth Frazier	(1996-1998)
	Fred Heath	(1994-1996)
	Ernie Ingles	(1995-1997)
	Paula Kaufman	(1996-1998)
	Gerald Lowell	(1995-1997)
	Susan K. Martin	(1995-1997)
	Tom Shaughnessy	(1994-1996)
	Robert Wedgeworth	(1996-1998)
	James F. Williams	(1995-1997)
	James Neal, Chair	(1995-1996)

Staff Liaison: Prue Adler

1.3 Intellectual Property and Copyright Issues

The ARL Board of Directors has identified intellectual property and copyright as a defining set of issues for the future of scholarly communication. All programs were urged to identify ways to advance the ARL agenda in these areas. As a result, many programs contributed to recent activities.

Last fall and winter, the ARL Working Group on Copyright developed a set of strategies for expanded research library leadership and impact on proposed copyright legislation. The following strategies were reviewed by the ARL membership and changes were proposed and incorporated to produce the following list.

- Implement tactics to slow down the legislative process so that key issues can be identified and debated, including use of institutional legislative liaisons
- Advocate for appropriate change or improvements in the current copyright law
- Affirm and articulate our intellectual property principles as well as important professional tenets in such areas as intellectual freedom and privacy
- Evaluate the proposed legislation against these principles to identify key conflicts and gaps
- Identify and resolve critical philosophical and practical differences and varied interpretations in our own community
- Propose new or alternative legislative language which addresses the needs of the scholarly and higher education communities
- Shape specific programs of library service that maximize the value for readers of the fair use and other limitations on copyright provided by the law
- Improve understanding of the international dimensions of the issues
- Expand awareness of the increased legal vulnerability for libraries and parent institutions under the proposed legislation
- Expand coalition building with the higher education, not-for-profit and technology communities
- Launch an effective and broad-based education and advocacy program on our campuses and in our regions

During the May 1996 Membership meeting in Vancouver, the ARL Working Group on Copyright and the Board reviewed a number of issues related to copyright.

With regard to the legislation, the Working Group acknowledged the need for a strenuous, rigorous response given the speed at which the legislation is scheduled to move through both Houses of Congress. The Working Group also acknowledged the need to engage the higher education community and decided that ARL's priority agenda should be: fair use, online liability, preservation, and distance education.

The Working Group reviewed the March draft of the CONFU electronic reserves guidelines as well as membership responses to them, and the draft CCUMC multimedia guidelines. The Working Group recommended that ARL not endorse the multimedia guidelines and recommended that a letter be sent to CCUMC explaining ARL's reasons for lack of support. The working group also recommended that ARL not sign on to the electronic reserve guidelines, noting both practical and political concerns with the current draft. The Working Group also asked for guidance from the Board about the guidelines process overall and ARL's association with them.

During the Business Meeting, Jim Neal, Chair of the Information Policies Committee, reported on the Working Group's discussions. In response to the report, the membership adopted a resolution articulating ARL concerns that "readers be able to exercise with vigor their fair use rights provided under the U.S. Constitution and that readers be able to rely on third parties such as libraries in the exercise of their rights."

Based on all the membership discussions during the Vancouver meeting, the Board revisited efforts to draft fair use guidelines in the CONFU process. They acknowledged that, while guidelines are useful as aids in interpreting the law as it applies to various activities within libraries, they should not reflect a narrow interpretation of the law. The Board discussed comments by Susan Kornfield, attorney for the MDS, who outlined for the membership the way guidelines can be and have been misinterpreted by the Association of American Publishers (AAP) in recent litigation.

The Board acknowledged the need for continued discussion and development of understandings with the user and creator communities about managing and using electronic information in ways that are within the spirit of the law and preserve

users' fair use rights. The Board decided that it was not in ARL member libraries' best interests to sign onto electronic reserve guidelines at this point. ARL's position on the electronic reserves guidelines was communicated to the CONFU participants. This was communicated back to the membership in July, as well. A letter was also sent to CCUMC outlining ARL's reasons for lack of support on the multimedia guidelines.

The Board also asked for ARL staff to arrange a discussion among members of the higher education and scholarly community to come together to discuss these issues.

On July 30, 1996, the ARL Board of Directors hosted a discussion of current issues in copyright and intellectual property as they relate to scholarly communication. Participants reviewed the state of current developments and their potential impact on the scholarly process. Of particular concern to all attending the meeting is the future of fair use in the electronic environment and the feasibility of arriving at mutual understandings within the higher education and scholarly community for the management and use of intellectual property. The participants acknowledged that the meeting was beneficial to all involved in that it provided a forum for developing understandings and for exchanging perspectives among the representatives of key constituencies. Follow-up meetings are planned for fall and will be hosted by the National Humanities Alliance.

A summary of the discussion and the themes emerging from the meeting was distributed to the ARL membership in August.

Summary of Activities

- Reviewed and responded to the Administration- and Congressional-recommended revisions to the 1976 Copyright Act and related NII efforts
- Developed strategies in response to specific legislative proposals, such as the NII Copyright Protection Act, the Copyright Term Extension bill, the Omnibus Patent Act of 1996, and the Database Investment and Intellectual Property Antipiracy Act of 1996
- Provided background information to the membership on new copyright proposals and progress with development of fair use guidelines
- Organized and published a second briefing packet, *Copyright and the NII: Resources for the Library and Education Community*, focused on pending legislation
- Distributed regular updates via the Federal Relations monthly e-notes

Shared Legal Capability for Intellectual Property. ARL is collaborating very closely with others in the library community on copyright and NII issues through the formation of the Shared Legal Capability (SLC).

- Five library associations (ALA, AALL, ARL, MLA, and SLA) are members of the SLC. Members of the SLC met with members of the Administration and congressional staff to discuss many proposed changes to the Copyright Act.
- The SLC is participating in negotiations with other interested stakeholders on copyright term extension legislation. The Register of Copyright is the facilitator of these negotiations.
- The SLC submitted statements to the House and Senate regarding H.R. 2441 and S. 1284, the NII Copyright Protection Act of 1995. Members of the SLC and the Digital Future Coalition drafted six alternative legislative proposals for H.R. 2441 and S. 1282. These include issues relating to browsing, fair use, preservation, first sale, distance education, and copyright management information.
- The SLC is participating in the negotiations with online service providers and content owners on online service liability issues. Rep. Goodlatte (R-VA) has convened these sessions to try and find common ground among these stakeholders. Arnie Lutzker, attorney with Fish and Richardson and SLC legal counsel, is representing the SLC in these discussions.
- The SLC, with the Association of American Publishers and the National Humanities Alliance, sent a joint letter to the Chair of the Senate Judiciary Committee expressing serious reservations with the PTO reform legislation. Provisions that would have decoupled the Copyright Office from the Library of Congress were subsequently deleted. *The Washington Post* noted this "formidable alliance" in both a story and editorial on this issue.
- Members of SLC agreed to explore the development of "best practices" issue briefs in selected areas, such as e-reserves, ILL, and licensing.
- Prue Adler and Duane Webster are the ARL representatives to the SLC.

Intellectual Property and NII. During the last six months, ARL staff have been extremely active in intellectual property and copyright debates and discussions. Members of the copyright team have made numerous presentations on these issues. In addition, ARL staff conducted numerous visits to House and Senate offices to discuss H.R. 2441, H.R. 989, the legislation seeking to extend copyright term, S. 1961, the Omnibus Patent Act of 1996, and H.R. 3531, legislation seeking to extend new intellectual property protections to databases.

With others in the public and private sectors, ARL formed the Digital Future Coalition (DFC). This Coalition is comprised of a diverse constituency of library, education, legal, scholarly, consumer, public interest, hardware and software manufacturers, and telecommunications providers, each of which has concerns regarding both the White Paper produced by the Administration and with provisions in H.R. 2441 and S. 1284. The DFC was formed to provide constructive alternative proposals to the White Paper and the legislation. Prue Adler is the ARL representative to DFC. The DFC has:

- Submitted testimony to both the House and Senate on H.R. 2441 and S. 1284;
- Conducted numerous visits to meet with Members of Congress, Congressional staff, and senior members of the Administration on these issues;
- Sponsored a technology briefing for Senate staff;
- Developed alternative proposals to those included in the legislation;

- Launched a campaign focused on the international dimensions of the NII bills and particularly the activities of the World Intellectual Property Organization (WIPO);
- Commenced a public awareness campaign regarding the critical importance of this legislation; and
- Worked to change and/or delete a provision in the Omnibus Patent Act that would make ephemeral legal "copies," thus changing current law and presenting serious liability issues for all network service providers.

ARL is participating in another copyright-related coalition, the Ad Hoc Copyright Coalition, comprised of private sector online service provider companies. This Coalition shares many of the same concerns as the SLC and the DFC and is primarily focused on network liability issues and the expansion of selected copyright owner's rights.

See Section 6.4, International Relations, for a report on International Federation of Library Associations meeting. Discussions were held on copyright issues.

Conference on Fair Use. The Conference on Fair Use (CONFU) has met almost monthly for the past two years to develop guidelines for fair uses of copyrighted works by and in libraries and educational settings. ARL has been represented by Mary Jackson. Over 60 library associations, copyright holder groups, scholarly societies, and user groups attend the meetings regularly. The last CONFU meeting is scheduled for November 25, 1996, with the final report of the Conference being issued by the Patent & Trademark Office prior to the start of the December WIPO Diplomatic Conference in Geneva.

- Electronic Reserves: At the plenary CONFU meeting on September 6, 1996, participants agreed that consensus could not be reached on the March 1996 draft of the electronic reserve guidelines. Both AAP and SPA issued statements noting their inability to endorse the draft. Several library associations, including ARL, also expressed serious reservations on the draft.

- Distance Learning: The Working Group has finalized language on live, interactive programs and asynchronous taped programs for later transmission. They are now drafting language for computer network (Web) delivery of live interactive distance learning programs. Copies of draft guidelines will be circulated to ARL members when the Working Group issues the call for comment. As of mid-September, participants are optimistic that consensus can be reached on fair use guidelines for distance learning.

- Digital Images: Over 20 ARL members responded to the call for comment on the August 1996 draft guidelines for digital images. Concerns centered around four areas: the apparent balance favoring copyright holders, especially their economic rights; the unreasonable burden of record keeping and compliance placed on libraries; a further narrowing of the fair use principle; and new restrictive technical and workflow requirements. Some participants are optimistic that consensus can be reached on the digital images guidelines by mid-November.

- Interlibrary Loan: Earlier this year, members of the ILL Working Group reached unanimous consensus that it was premature to develop guidelines for digital transmission of digital documents. However, copyright holders pressed to explore the possibility of developing guidelines for digital transmission (e.g. fax, Ariel) of print documents. The library and user community responded to the AAP document articulating why they could not accept the restrictions proposed by AAP. It appears unlikely that new fair use guidelines for ILL will be developed within the CONFU setting.

- Multimedia: In a separate but parallel process, the Consortium of College and University Media Centers (CCUMC) has completed work on fair use guidelines for educational multimedia and has begun the endorsement process. ARL sent a letter to CCUMC in July outlining reasons not to endorse. As of mid-September, 15 endorsements have been received, primarily from organizations representing copyright holder interests such as AAP and SPA. Receiving a favorable response from Bruce Lehman, the CCUMC committee intends to include the multimedia guidelines in an appropriate Judiciary Committee report.

MDS Decision and Fair Use. ARL closely monitored reaction to a fair use decision passed down by the Sixth Circuit Court of Appeals, on February 12. The court held that an off-campus, for-profit photocopy shop may, as a matter of fair use, make coursepacks that include substantial portions of copyright-protected books and sell them to students (*Princeton University Press v. Michigan Document Services, Inc.*). On April 9, 1996, the judges of the Sixth Circuit Court of Appeals voted to rehear this case en banc. The effect of that vote is to vacate the previous decision from the Sixth Circuit, leaving in force the injunction issued by the District Court. Based on membership discussion in Vancouver in May, ARL with ALA sent a letter to the Court noting that issues regarding fair use as detailed in amicus briefs before the Court in support of MDS are of extreme importance to members of the library community.

Copyright Education Initiative. The H.W. Wilson Foundation awarded ARL funding to develop an educational initiative on copyright compliance that includes funding to sponsor a series of workshops for librarians who have a training or spokesperson role in copyright compliance. Two workshops were conducted in the last half of 1996.

For the U.S. audience, "Copyright and Libraries: A Leadership Workshop" was held in Seattle, WA (September 19-20). The needs of institutions governed by Canadian copyright law will be addressed in "Copyright in Canada," to be held in Ottawa, Ontario (October 3-4). ARL collaborated with the Canadian Association of Research Libraries (CARL) in the design of the workshop and it is co-sponsored by ARL, CARL, and the Association of Universities and Colleges of Canada.

Copyright Publications. In May, ARL published *Copyright and the NII: Resources for the Library and Education Community*. This briefing packet was designed to assist libraries and educators understand and become aware of the current copyright legislative reform and to encourage involvement in the debate. To date, over 800 copies have been distributed. Segments of the publication are also available on the ARL server.

In preparation for the ARL Copyright Workshop in Seattle, ARL staff prepared *A Copyright Handbook: An ARL Compilation of Key Resources for Librarians*. This publication contains a range of materials designed to acquaint librarians with copyright and its application in the library. This publication will be revised in the fall of 1996 and made available for purchase.

A draft pamphlet on licensing electronic resources has been prepared and is available for review. It outlines strategic and practical considerations before signing electronic resource agreements or contracts. Karen Hersey, Intellectual Property Counsel, MIT, assisted ARL in the preparation of this document.

The ARL Focus Flyer on Copyright has been available since 1994 and is continuously updated. Most recently it was distributed at the ARL copyright workshop in Seattle and at the IFLA conference in Beijing. It was also available at a Copyright Conferences held at the University of Tennessee in September, in Bangkok in October.

Copyright materials are continuously being added to the ARL website and links are also in place to other relevant copyright and intellectual property sites.

1.3.1 Working Group on Copyright Issues

At the request of the ARL Board of Directors, the Working Group on Copyright Issues was asked to continue to coordinate ARL activities on intellectual property and copyright issues. The Committee is comprised of members from four standing committees of the Association and the Executive Committee. Members of the Group serve as liaisons to their respective committees on these issues.

Members:	Scott Bennett	(Scholarly Communication)
	Betty Bengtson	(Board, AAU/ARL Steering)
	Nancy Cline	(Board)
	Ken Frazier	(Information Policies)
	Ernie Ingles	(Information Policies)
	Paula Kaufman	(Information Policies)
	Peter Lyman	(At Large)
	Susan Nutter	(At Large)
	Martin Runkle	(Preservation)
	George Shapiran	(Access)
	Elaine Sloan	(Scholarly Communication, AAU/ARL Steering)
	Robert Wedgeworth	(Information Policies, AAU/ARL Steering)
	Jim Neal, Chair	(Board, Information Policies)
Staff Liaison:	Duane Webster	
Staff Resources:	Prue Adler	
	Mary Jackson	
	Patricia Brennan	

1.4 AAU/ARL Action Agenda

AAU/ARL Steering Committee Activities

The spring 1996 meeting of the AAU/ARL Research Libraries Steering Committee led to a significant turning point in the way the two organizations are addressing their shared agenda. At that meeting, the Steering Committee decided to reconsider the collective action it desired to promote electronic scholarly communication, to endorse the Global Resources Program, and to consider coordinating its agenda with that of the AAU Committee on Information Technology's. Subsequently, the Steering Committee co-chairs, Myles Brand and Jerry Campbell, decided that a new committee structure should be developed. The Intellectual Property Task Force was concluded with thanks for its significant contributions. The future of the Steering Committee itself is still unresolved, pending the AAU and ARL discussions this fall.

The following review presents the status of the major topics emerging from the spring steering committee discussion.

Electronic Scholarly Publishing: Rethinking a Strategy to Promote ESP

With the decision that the "call for proposals" for discreet ESP projects was not the kind of collective action that they were seeking, the Steering Committee discussed revisiting a definition of collective action for electronic scholarly publishing in the context of other discussions underway within AAU about higher education's need for expanded network capacity. There was also a preliminary discussion of a consortial structure to provide a stable base of support for electronic scholarly publishing.

IScAN: Encouraged by the continuing interest in the Steering Committee for some form of collective action to foster electronic scholarly publishing, the ARL Board formed a Working Group (Jerry Campbell, Chair, Nancy Eaton, Jim Neal, and Barbara von Wahlde) to develop a discussion document to help define possible collective actions, taking into account both content- and conduit-related issues in electronic scholarly publishing. With the help of Paul Peters, Executive Director of CNI, a draft document on an International Scholars Academic Network (IScAN) was developed, discussed by the ARL Board, and distributed to all directors of ARL libraries. Response to the proposal was sought from the ARL membership prior to the July ARL Board meeting. While comments on the details of the proposal were mixed, most

respondents were in favor of some collective action to facilitate electronic scholarly publishing. As a result, the Board requested that Paul Peters and Mary Case, Director of ARL's Office of Scholarly Communication, develop further the IScAN concept, including an analysis of possible business models, for the purpose of broad discussion by the membership at the October meeting.

As one step in the development process, the Board recommended the convening of a focus group of individuals or organizations currently involved in electronic publishing projects. The intent of such a meeting was to explore the perspective of those actively engaged in creating value in the networked environment on the IScAN concept and to determine if, from that vantage point, there are goals that could be accomplished through collective action that are difficult to achieve individually or competitively in the current environment. The IScAN Forum was held in the ARL Conference Room on September 16.

Another strategy in the development of IScAN was the preparation of profiles of such organizations as ASCAP, BMI, and the NCAA. Information regarding the organization and functioning of these entities that promote both cooperation and competition should be constructive as possible business models for IScAN.

An updated report and set of materials will be made available to members and discussed at the October ARL membership business meeting.

Ongoing Coordination of the AAU/ARL "Digital" Agenda
Also at the April AAU meeting, the AAU Committee on Information Technology proposed a discussion for AAU presidents and chancellors this October to address the shortcomings of the Internet status quo and to discuss a proposal for collective action to establish a new network to better serve the needs of higher education. The AAU/ARL Steering Committee acknowledged the similarity of this agenda to its own and proposed a joint program for the AAU October meeting. A planning meeting including representatives of AAU, AAU's Committee on Information Technology, and ARL met in Chicago in July to begin discussions on the October AAU program. Nancy Eaton, Robert Wedgeworth, and Duane Webster represented ARL at this meeting. The AAU program in mid-October will include a program on the digital environment: Robert Wedgeworth was invited to discuss digital intellectual property management and Paul Peters was invited to discuss forces shaping the evolution of the digital environment.

The AAU/ ARL Global Resources Program
In April, the proposal for a Global Resources Program was endorsed in principle by the Steering Committee that indicated its commitment to recommend that AAU Presidents and Chancellors provide some level of funding to implement the program. The Steering Committee had received a draft report prepared by the ARL Research Collections Committee *(Tactical Plan for the AAU/ARL Global Resources Program)* and a proposal for a process of consultation with chief academic officers and scholarly/area studies societies to secure agreement on both the Global Resources Plan and on the financial strategy for pursuing it. The tactical plan outlines the vision of a network-based, distributed collection of global information resources for North American teaching and research as well as the benefits it will provide in improved access to global resources. In May, the ARL Research Collections Committee discussed implementation of the plan and the ARL membership was briefed on the plan during the business meeting.

In September, AAU and ARL staff met at The Andrew W. Mellon Foundation to discuss plans for the Global Resources Program. On the basis of that conversation, ARL was encouraged to submit a proposal for funding to support the program over three years. The elements of the proposal will be based to a significant degree on the ideas outlined in the *Tactical Plan* and the experience of the three AAU/ARL Global Resources Demonstration Projects. See Section 3.1.1 of this report for a description of the key elements of the Global Resources Program; see below for a status report on the demonstration projects.

AAU/ARL Global Resources Demonstration Projects: Status Report
A key goal of the AAU/ARL common action agenda is to improve access to international research resources. Three demonstration projects, focusing on materials from Latin America, Japan, and Germany, form the first phase of a network-based, distributed program for the coordinated acquisition of and access to foreign materials, the Global Resources Program. The ARL Research Collections Committee provides overall guidance for these projects.

Latin Americanist Research Resources Pilot Project
Overview
The project seeks to expand the range of materials available to Latin Americanist students and scholars, to restructure access to these materials through distributed, cooperative collection development based on new uses of technology, and to assist libraries in containing costs. Start-up funding for the project came from The Andrew W. Mellon Foundation and thirty-five participating ARL libraries. In October 1995, the Mellon Foundation awarded ARL a grant for $125,000 for the second phase of the project. Mark Grover, Latin American Studies Bibliographer at Brigham Young University Library, will conclude his assignment as Project Coordinator in December 1996. An Advisory Committee, chaired by Deborah Jakubs of Duke University, oversees the implementation of the Latin Americanist Research Resources Pilot Project. Ms. Jakubs can be contacted at <jakubs@acpub.duke.edu>.

Project Activities
The original project activities focused on three categories of Argentine and Mexican resources: serials, government documents, and the publications of non-governmental organizations (NGOs). Progress in all three areas has been significant, and the Advisory Committee is planning for the next phase of the project.

An easily accessible Internet database hosted by the University of Texas Latin American Network Information Center (UT-LANIC) offers tables-of-contents for approximately 300 academic journals from Argentina and Mexico. A pilot

interlibrary loan service, designed jointly by UT-LANIC and OCLC, is now operational, and will streamline the process of obtaining articles that are included in the table-of-contents database. The ILL enhancement allows users searching the database to submit an online ILL request for an article to their home institution's PRISM ILL Review File. All 35 ARL libraries participating in the AAU/ARL Latin Americanist Research Resources Project are automatically included in this new service. The URL for the pilot ILL service is: <http://lanic.utexas.edu/project/arl/arl.html>.

The project improves access to Latin American government documents primarily through electronic technology. Presidential messages from Argentina and Mexico have been digitized, and the process of scanning and indexing the complete files of these documents is expected to be completed by December 1996. The work is being completed by Preservation Resources, and the images will be available on UT-LANIC. This part of the project brings together into a single online collection documents that were supplied by several ARL libraries.

The participating libraries have also assumed collecting and cataloging responsibilities for publications of Argentina and Mexican non-governmental organizations, research institutes, and other non-commercial producers of research reports and discussion papers.

In March 1996, a questionnaire was sent to the Latin American bibliographers at participating libraries seeking their feedback on the project activities and advice on next steps. A meeting of the project bibliographers held during the conference of the Seminar on the Acquisition of Latin American Library Materials (SALALM) in June 1996 also provided helpful feedback. The Advisory Committee has reviewed the information gathered and has recommended several new activities for the project. They include:

- expanding the table-of-contents database by including coverage for serials volumes from 1990 forward;
- recommending that each participating library cancel a project journal from among those that are widely held, and accept responsibility for a new title;
- adding a monographic component to the project, in which participating libraries will be asked to reallocate a percentage of their Latin American monographic budgets to focus on an area of particular strength;
- building partnerships with Latin American libraries, research institutes, and book dealers;
- creating a set of five working groups, each made up of bibliographers from libraries participating in the project, to collaborate on developing the next steps for: serials; monographs; NGOs; government publications; and partnering.

In addition, as a complement to the first phase of the project, the University of Florida and the University of California at Berkeley are designing institutional studies that will examine the effects of distributed, cooperative projects on the internal structures of research libraries.

German Demonstration Project

Overview

The primary goals of the German Demonstration Project are (1) to ensure effective and timely access to and delivery of German language research materials through electronic resource sharing and improved interlibrary document delivery services, and 2) to test linking between North American and German libraries to expand access to specialized research resources. This is a cooperative effort among research institutions in the United States, Germany, and Canada with strong German library collections and an institutional commitment to research in German history and political science. For more information on the project, contact Sarah Thomas of Cornell, <set9@cornell.edu>.

The project has four specific activities:

- to cooperate with the Deutsche Bibliothek and German government agencies in locating and/or encouraging the development of digital versions of federal government documents;
- to collaborate with German research libraries to test network access to regional government documents;
- to develop complementary systems for cataloging;
- to identify serials published in Germany that are critical for furthering scholarship but not widely held in North America, and devise effective document delivery strategies.

Project Activities

The German Demonstration Project now has twenty-two participating libraries. The project is coordinated by a Working Group co-chaired by Winston Tabb of the Library of Congress and Sarah Thomas of Cornell.

The Library of Congress (LC) has made special arrangements so libraries in the project will have access to the cataloging records prepared by the Deutsche Bibliothek through files mounted at LC. Access to these records is available to participants on a subscription basis via Z39.50. The Universitaetsbibliothek in Goettingen has mounted an Internet-accessible test file of regional government documents.

Top priority at present is to obtain funding to enable the participants to undertake cooperative activities, such as developing a common serials list, analyzing methods for increasing North American coverage of German monographs in political science and history, and stimulating the development of digital documents by German agencies and making them easily available. This would reduce the need for print archival holdings in ARL libraries. The Working Group has already made some progress in this area through discussions held in June 1996 with Elmar Mittler, librarian of the University of Goettingen Library, and other German librarians at the Deutscher Bibliothekartag.

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Japan Journal Access Project

Overview

The Japan Journal Access Project, which originally began as the Japanese Scientific and Technical Information Project, seeks to improve access to Japanese journal literature across all disciplines. Broadening of the scope of the project was facilitated by the interest and support of the National Coordinating Committee on Japanese Library Resources. The coordination of the Japan Journal Access Project has been shared by Don Simpson of the Center for Research Libraries and Dorothy Gregor, consultant to ARL. For more information on the project, contact Dorothy Gregor <dgregor@library.berkeley.edu>.

Project Activities

The Japan Journal Access Project has thus far focused primarily on gaining access to Japanese journals available from Japan. This focus will continue, but the Project is also being expanded to include improving access to Japanese language journals available from U.S. sources. The Serials Subcommittee of the National Coordinating Committee on Japanese Library Resources (NCC), which has been asked to draft a workplan for the Project, met in September to outline a plan for review by Japanese studies librarians and ARL directors. The following is an outline of the proposed components of an expanded Project.

Access to Japanese Journals Available in the U.S.

- Collaborative Collection Development: Distributed Approach

Using the Union List of Japanese Serials compiled by Mihoko Miki (UCLA) and Yasuko Makino (Columbia) as a base list, project participants will identify responsibilities for the ongoing maintenance of important titles in hopes of reallocating funds from duplicated titles to titles not currently available in the U.S. The Union List will be updated and made available over the Web.

- Collaborative Collection Development: Center for Research Libraries

The Center for Research Libraries (CRL) is currently developing a plan for an East Asian Area Studies Program. The Serials Subcommittee proposes including some less used but nonetheless important Japanese titles in the Program, noting that the Center already has a significant number of Japanese journals and newspapers.

- Web-based Access to Document Delivery for Japanese Journals

Several services, e.g., CARL Uncover, JICST, and Interlingua provide document delivery for Japanese journal articles. Web links with descriptions of the services for users can be provided on the Project's Web page at OSU <http://pears.lib.ohio-state.edu/>.

- Retrospective Conversion

The NCC is completing a survey of progress made in the retrospective conversion of Japanese collections in the U.S. Several of the largest ARL libraries have not yet converted their serial holdings; some targeted recon may be necessary in order to gain better access to titles held by those libraries.

Access to Japanese Journals and Journal Articles from Japanese Sources

- National Diet Library's *Zasshi kiji sakuin*

The *Zasshi kiji sakuin* is an important journal index produced by the National Diet Library (NDL). At the beginning 1996 NDL ceased paper publication and switched to an expensive CD-ROM. U.S. Japanese studies librarians have been pressuring the NDL to make the index available over the Internet. In early August 1996, Japan's National Center for Science Information Systems (NACSIS), a government-supported bibliographic utility providing bibliographic and interlibrary loan/document delivery/e-text access for Japanese academic and research libraries, began including the index among its files available for foreign access. Although the costs of accessing the NACSIS system over the Internet are not particularly high, problems of payment mechanisms and hours of access remain and will be a continuing focus of the Japan Project and the NCC. It is important to note that NACSIS also houses a union catalog of the holdings of the Japanese national universities and a large number of other academic libraries.

Additionally, the NCC is developing a grant proposal to provide training for librarians and end users in the use of NACSIS files and information for search and display using vernacular script. Although NACSIS can be a major resource for U.S. users, work remains to be done before the system will be widely available in the U.S.

- Japanese Sci-Tech Literature

In accordance with the early emphasis of the Japan project on the sci-tech literature of Japan, the project has arranged for a September meeting of a staff member from Engineering Index (EI) with NACSIS staff in Tokyo. EI is interested in expanding its Japanese sci-tech coverage, but there are barriers of costs, language and culture to surmount. The outcome of this initial meeting will be reported at a later date.

1.4.1 AAU/ARL Research Libraries Steering Committee

The AAU/ARL Research Libraries Steering Committee played an active role in the integration of the separate initiatives and their ramifications for the way universities conduct their business. The Committee will not meet during the next AAU meeting scheduled for October 20-22 in Los Angeles. Both organizations are reviewing appropriate actions to advance the shared agenda of the two organizations; the future of the steering committee will be determined this fall and winter.

Members: **AAU** Myles Brand, Indiana, Co-chair
Donald Langenburg, Maryland
Robert McPherson, Michigan State
Robert Pritchard, Toronto
Harold Shapiro, Princeton

ARL Jerry Campbell, Southern California, Co-chair
Betty Bengtson, Washington
Susan Nutter, North Carolina State
Elaine Sloan, Columbia
Robert Wedgworth, Illinois

Staff Liaisons: John Vaughn, AAU
Duane Webster, ARL

Section 2: Access and Technology

2.1 Access to Information Resources

Summary of Activities
(See also Sections 2.2 Coalition for Networked Information and 2.3 HEIRAlliance)

NAILDD Project. A centerpiece of the ARL Access capability is the North American Interlibrary Loan and Document Delivery (NAILDD) Project. The NAILDD Project was established in 1993 by ARL to promote developments that maximize access to research resources while minimizing the costs associated with such activities. The operating philosophy is to seek practical and creative technical developments that enable libraries to improve mediated ILL/DD services, and to introduce unmediated services in a networked environment. The strategy is to seek actions on the part of private sector developers that will respond to the priority needs of the library community.

NAILDD on the WWW. ARL's Access and Technology Program has a home page on the ARL website where current information on the NAILDD Project is posted. Regular features include a status report as well as a list of members of the DIG and IPIG. See <http://arl.cni.org/access/access/html>.

Collaboration with the Private Sector: the DIG. The Developers/Implementors Group (DIG) was formed to accelerate collaboration between libraries and a broad constituency of private sector players to advance the NAILDD Project's priority technical developments. Now representing 50 organizations, the DIG continues to serve as a source of information and a forum for the major players in ILL/DD services. In the last year, standards remained the main focus of the NAILDD project work with the DIG

IPIG. The ILL Protocol Implementors Group (IPIG) was formed as a subset of the DIG to facilitate the use of the international ILL standard (ISO 10160 & 10161) by U.S. vendors and service providers. The Protocol is the international standard for communicating interlibrary loan requests. It is widely used in Canada, but, until last year, the only U.S. implementation of the Protocol was TRLN's Document Delivery Project.

The IPIG was formed in late 1995 to identify ways in which the Protocol can be more widely implemented in the U.S. Seventeen organizations committed to implement the Protocol by participating in the IPIG. OCLC was the first to make the Protocol testbed available, and other IPIG members have been actively working with OCLC in early testing. Mary Jackson visited The Library Corporation in late spring to review progress on their Protocol-based ILL management system. Mark Wilson of The Library Corporation completed the encoding of all the Protocol messages and has opened a second IPIG testbed. Transmission of test messages by several IPIG participants, including DRA, has led to lively discussions on the IPIG listserv, and raised additional issues on which consensus needs to be reached. In addition, CISTI and The Library Corporation are collaborating to develop a method to permit two different encoding methods to exchange messages.

Expanding the DIG & IPIG beyond North America. The NAILDD Project received strong expressions of interest from organizations in Australia and Europe to expand the DIG and the IPIG to involve all organizations and libraries developing ILL projects or using the Protocol. In late June, Mary Jackson attended a meeting of the European Forum for Implementors of Library Automation (EFILA). Several EFILA participants are implementing either the Z39.50 Item Order extension or portions of the ILL Protocol. Discussions at the meeting confirmed the international interest of the work of the DIG and IPIG. As a result, both NAILDD groups are expanding to include key organizations from Britain and Australia with others expected.

NAILDD Project Meetings at ALA. The NAILDD Project continues to hold meetings the Friday before ALA conferences. The morning Directors Forum on Managing ILL/DD Operations provides an opportunity for directors and senior staff in research, academic, and public libraries to engage in discussions with developers of ILL/DD products and services. The

afternoon DIG meeting brings together members to review the status of efforts to realize the Project's three technical priorities.

Highlights of the meetings in July in New York City included reports from five DIG members and a presentation by the University of Arizona on its internal efforts to improve ILL/DD. DIG participants identified a range of new short-term goals for the project to consider. The next NAILDD Project meetings will be held on February 14, 1997 in Washington, DC.

AAU/ARL Demonstration Projects for Global Research Resources. The Access capability and the NAILDD Project advise on access and delivery issues that emerge in the AAU/ARL foreign publications demonstration projects. Since last fall, this included, with support from OCLC, developing a standards-based approach to streamline user-initiated ILL requests and services from the database for the Latin Americanist Project.

The University of Texas Latin American Network Information Center (UT-LANIC) hosts the electronic database of tables of contents of 300 academic and research periodicals from Argentina and Mexico. In order to facilitate user-generated electronic ordering of articles highlighted in the UT-LANIC database, OCLC agreed to participate in a pilot project to build a link between UT-LANIC and Prism ILL. In May, a report on the UT-LANIC implementation was made to a joint meeting of the ARL committees on Collections and Access to Information Resources. The service is now operational and while the use is light, it has identified a range of technical, policy, and internal workflow issues that need to be addressed as part of ongoing evaluation.

ILL/DD Performance Measures Study. The Andrew W. Mellon Foundation awarded ARL a grant to measure the performance of interlibrary loan and document delivery services in research and academic libraries. The two-year study, undertaken in collaboration with the Council on Library Resources (CLR), will expand the earlier ARL/RLG ILL cost study by measuring fill rate, turnaround time, user satisfaction, as well as costs. In late spring, Dr. Michael McPherson resigned as study consultant due to his appointment as President of Macalestar College. Dr. Bruce Kingma, University at Albany, accepted the invitation to serve in this role. Dr. Martin Cummings, CLR, continues to serve as study consultant.

Phase One of the study concluded this summer after site visits to six libraries that reported high or low cost from the original cost study. A report based on the site visits and new data submitted will seek to identify any characteristics that may contribute to their costs. Phase Two is underway. The Greater Midwest Research Library Consortium (GMRLC) tested the revised cost data instrument during the spring, and the instrument was revised based on comments of GMRLC participants. In July, an invitation to participate in the new performance measures study was issued to all directors of ARL libraries and over 80 responded affirmatively. During the fall, participants will gather data on general characteristics of ILL/DD units, costs, fill rates, turnaround time, and user satisfaction. Academic libraries are represented in the study by libraries part of the Oberlin Group. In September, Oberlin libraries were invited to participate and a similarly high level of participation is expected.

Other NAILDD activities

FedEx: NAILDD negotiated an agreement with Federal Express for two-day shipments of ILL materials for ARL member libraries. Nearly 30 members are now shipping and receiving ILL materials via the two-day delivery. In January of this year, FedEx extended the discounted rates to all types of library-related material (circulation material, returns to book-jobbers, administrative materials, etc.). FedEx also signed agreements with AMIGOS and RLG and notified ARL that they do not plan to enter into other new agreements until the current agreements are in place long enough to evaluate them.

Copyright. The Access capability also contributes to ARL's initiatives associated with copyright and intellectual property. Since May 1996, this included:

- participation in the monthly Conference on Fair Use (CONFU) to develop guidelines for ILL/DD, electronic reserves in the NII; and
- organization of a Copyright & Libraries Leadership Workshop for the U.S. in September 1996, and one for Canadian institutions in October 1996. (See Section 1.3 Intellectual Property and Copyright Issues for a fuller description.)

Economics of Information Conference: Challenging Marketplace Solutions. ARL collaborated with the SUNY University Center Libraries, the Council on Library Resources, the National Association of State Universities and Land Grant Colleges, and the Coalition for Networked Information to conduct a national conference on issues related to the development of the knowledge infrastructure and the consequent economic impact on higher education. The conference proceedings, *The Economics of Information in the Networked Environment*, edited by Meredith Butler and Bruce Kingma, the University of Albany, was published by ARL in June. For more information, see <http://arl.cni.org/access/access/html>.

A National Initiative on Networked Cultural Heritage: ARL has joined the National Initiative on Networked Cultural Heritage to give research libraries an active voice in an important new coalition. ARL's initial year of funding was provided by a grant from the Delmas Foundation. NINCH was formed out of a collaborative project of the American Council of Learned Societies, the Coalition for Networked Information, and the Getty Information Institute. It seeks to draw together a broad coalition of arts, humanities and social science organizations to assure the fullest possible participation of the cultural sector in the new digitally networked environment. To date, 22 organizations have joined.

In the spring of 1996, David Green was appointed Executive Director; his office is hosted by the Coalition for Networked Information. Dr. Green met with the ARL Board in July and will brief ARL directors on the new initiative during the October 16 meeting of the ARL Committee on Access to Information Resources.

NINCH has a homepage on the WWW: <http://ninch.cni.org/>.

2.1.1 Committee on Access to Information Resources

The ARL Committee on Access to Information Resources is established to help the Association make access to research information resources more effective. In order to maintain and improve access to research information resources, ARL will undertake activities to strengthen bibliographic, abstracting and indexing tools, user access, and physical and electronic access to information.

The Committee is charged to monitor developments, determine critical issues requiring ARL attention, inform members, and design strategic responses to influence the access to research information resources. The Committee also advises and guides the ARL staff on matters regarding the plans and strategies of the ARL program capability on Access and Technology.

The current Committee focuses on an agenda in support of resource sharing in an electronic environment. Issues identified as key to this agenda are reconceptualization of ILL in an electronic environment and articulation of the principles and values that support resource sharing among research libraries.

1996 Agenda of Issues:

- Promote and support NAILDD to advance priority technical developments
- Monitor the Network Information Resources and Discovery initiative underway within the Coalition for Networked Information
- Contribute to AAU-ARL initiatives that demonstrate and evaluate the concept of a distributed, multi-institutional research library collection that is linked together and made accessible to users via networked services

Members:	Pamela André	(1995-1997)
	Meredith Butler	(1994-1996)
	Ellen Hoffman	(1996-1998)
	C. Lee Jones	(1994-1996)
	Paul Mosher	(1996-1998)
	Michael Ridley	(1996-1998)
	Marianne Scott	(1995-1997)
	George Shipman	(1995-1997)
	GladysAnn Wells	(1996-1998)
	Karin Wittenborg	(1994-1996)
	Shirley Baker, Chair	(1995-1996)
	Winston Tabb, Library of Congress Liaison	
	Mary Jackson, Access & Delivery Services Consultant	
Staff Liaison:	Jaia Barrett	

2.1.2 Work Group on Scientific and Technical Information

The Work Group was formed in 1991 to follow up the report of the 1991 ARL Task Force on a National Plan for Science and Technology Information Needs. The Work Group monitors STI developments and functions as an advisor to the Board for shaping ARL activities in this area.

Status as of September 1996:
The Group met at the May 1996 ARL Membership Meeting in Vancouver, BC, to share reports on STI developments. The discussions were enriched with reports from colleagues representing CARL libraries, and with the participation of invited guest Aldyth Holmes, Director of Publishing for CISTI.

Also in Vancouver, Work Group Chair Marilyn Sharrow convened a luncheon program for ARL and CARL delegates on international library and publishing developments. The Work Group on STI's special guest, Ms. Holmes, presented a report on an international view of electronic publishing in the sciences. Also on the program was a report from Leo Voogt, Director General of IFLA, on the future direction of this international organization.

Work Group meetings are planned in conjunction with the ARL Membership Meetings, supplemented with occasional e-list communications. The group functions as an informal communications and response network. The next meeting will take place October 16.

Members:	Pamela André
	Betty G. Bengtson
	Joe Boisse
	C. Lee Jones
	Margot Montgomery
	Susan K. Nutter
	Marilyn J. Sharrow, Chair
Staff Liaison:	Jaia Barrett

2.2 Coalition for Networked Information (CNI)

CNI is an organization for institutions concerned with realizing the promise of high performance networks and computers for the advancement of scholarship and the enrichment of intellectual productivity. The Coalition was formed in 1990 by the Association of Research Libraries (ARL), Educom, and CAUSE. The Coalition pursues its mission through the aid of its membership, a 200 plus task force made up of higher education institutions, publishers, network service providers, computer hardware, software, and systems companies, library networks and organizations, and public and state libraries.

Goals and Objectives

Facilitate the transition to networked scholarly communication and publishing.

- Networks and networked information resources and services enable entirely new modes of communication and publishing that will transform scholarship for the better, but they must also perform all the functions required by the scholarly communication and publishing process
- Identify and describe the functions performed by the key stakeholders (e.g., publishers and librarians) in the value-chain of relationships that link creators and users of scholarly information
- Analyze and disseminate what those stakeholders think about possible future changes in their roles and costs
- Guide the development of institutional policies and services regarding the acquisition of, access to, and preservation of Federal information
- Stimulate the enrichment of subject access to networked information resources and services

Promote institutional readiness and professional development, and faster cross-sector perspectives, communication, and collaboration.

Institutional readiness factors need to be addressed and the perspectives and skills of information professionals need to be developed before the promise of networks and networked information can be fully realized. Partnership relationships among different types of institutions and information professionals are key to realizing this promise.

- Identify and offer guidance on enterprise-wide networked information issues in four areas: hardware and software infrastructures; budgets; policies and practices; and, managing staff and facility
- Develop a methodology for assessing the impacts and value of networks and networked information resources and services in academic settings
- Provide opportunities for teams made up of different types of information professionals (e.g., librarians and information technologists) to learn how to work together effectively
- Provide guidance to collaborative teams of faculty, librarians, information technologists, students, and others who are implementing teaching and learning programs with a networked information component

Influence the development of advanced information technologies and services.

The requirements of the scholarly communications and publishing process and the needs and capacities of creators and users of scholarly works must be brought to bear upon the digital library research and development process.

- Strengthen the foundation of research on and development of networked information discovery and retrieval technologies and services
- Promote the development of metadata schemes, practices, and systems that enable cross-disciplinary access to networked information resources and services

Activities

Cost centers and measures in the networked information value-chain.
Produce a white paper on the "life cycle" of the scholarly communication and publishing system that, among other things, identifies the cost centers that are expected to change most significantly and proposes ways to measure those changes over time

Access to and services for federal information in the networked environment.
Produce a white paper on developing and managing Federal information resources and services in a networked environment.

Subject access to networked information resources and services.
Convene an invitational workshop for developers of Internet sites designed to facilitate subject access resulting in a list of best practices to guide the efforts of prospective developers of such sites.

Enterprise-wide information strategies.
Develop case studies of how enterprise-wide issues are manifesting themselves at a dozen or so institutions, profiling how those institutions are framing and addressing those issues, and suggesting how other institutions can assess their own needs and formulate their own strategies in this area.

Assessing the academic networked environment.
Implement a field-test of McClure and Lopata's *Assessing the Academic Networked Environment: Strategies and Options* by two groups of six research and non-research institutions, resulting in a handbook (made available on the Web as well as in print) to guide the assessment efforts of other institutions
Information professionals working together.
Convene open registration workshops and campus or regional workshops that bring institutional teams of librarians and information technologists together to assist them with developing collaborative projects.

Networked, collaborating learning communities.
Convene a workshop for newly formed teams, a half-day pre-conference for librarians at the ACRL National Conference, and assist the development of a website on this topic.

Networked information discovery and retrieval.
Produce a white paper that establishes a theoretical framework for considering the relationship between metadata structures and content, the organization of network objects, and networked information discovery and retrieval within a distributed environment.

Metadata for cross-disciplinary access.
Convene an invitational workshop to promote convergence among alternative approaches to describing images and image-bases in networked environments, and formulate a strategy for developing widely accepted and used metadata standards to facilitate the planning of image creation and conversion projects and to enable the discovery of existing images that can be used in research, teaching, and learning activities.

Task Force meetings.
Convene a fall and spring Task Force meeting to bring together representatives for a comprehensive update on critical issues and to provide an opportunity not only for representatives to receive briefings on current network topics, but to learn about specific networked information projects, and to provide suggestions on directions for Coalition initiatives:

- Fall Task Force Meeting: December 6-7, 1996, San Francisco, California
- Spring Task Force Meeting: April 1-2, 1997, Washington, D.C.

Regional conferences.
Co-sponsor with CAUSE regional conferences to provide affordable, high-quality professional development programs on networked information topics to a wide range of information professionals:

- Roanoke, Virginia: September 11-13, 1996, Virginia Tech
- Newark, Delaware: May 21-23, 1997, University of Delaware
- London, England: June 1997, Joint Information Systems Committee, British Library, UKOLN

Special events.
Organize special events to foster partnerships among Coalition members, frame critical issues, analyze important trends, synthesize progress made on key initiatives, and disseminate the lessons and experiences of various project.

Sponsorships.

- Citizens Internet Empowerment Coalition
- The Commission on Preservation and Access
- Consortium for the Computer Interchange of Museum Information (CIMI)
- The Internet Society
- National Humanities Alliance (NHA)
- National Initiative for a Networked Cultural Heritage (NINCH)

2.2.1 Steering Committee for the Coalition for Networked Information

As part of the governance structure of the Coalition for Networked Information, each of the three founding organizations (ARL, CAUSE, EDUCOM) has three seats on the CNI Steering Committee. ARL representatives to the committee have been given staggered terms to achieve consistency with other ARL Committee assignments. The members of the committee meet with the ARL Board to review communication and advisory processes between ARL and CNI.

Status as of September 1996:
The ARL Board meets regularly with Paul Peters to discuss the Coalition's program priorities. On each occasion, the Board has recognized the extraordinary success of the CNI program and the importance of the Coalition for institutions of higher education. In May, the Board met with ARL's representatives to the CNI Steering Committee to review CNI program priorities. In July 1996, the Board reviewed a positive report from the representatives and reaffirmed its endorsement for another three-year term for the Coalition.

Meetings Planned for 1996:
The Coalition Steering Committee meets in conjunction with CNI.

Members:	David Bishop	(1995-1998)
	Sheila Creth	(1994-1997)
	Sharon Hogan	(1996-1999)

Staff Liaison: Duane Webster

2.3 HEIRAlliance

In May 1991, the ARL Board received an invitation from CAUSE and EDUCOM to form an alliance to identify cooperative ventures in information resources management. The Higher Education Information Resources Alliance (HEIRAlliance) was approved in concept by all three boards as a device to further project-based cooperation.

The Board approved an initial phase of *The HEIRAlliance Report*, covering information technology and information resources targeted at chief executives and academic officers in the 3,000 academic institutions in the U.S. and Canada.

The initial product of this alliance is a series of four-page briefing papers now titled "Executive Outlook on..." (previously titled, "What Presidents Need to Know"). The reports are usually the work of teams that consist of library directors, heads of information technology, and presidents.

Status as of September 1996:
In July 1996, a briefing paper in the series was prepared and distributed. HEIRAlliance Executive Strategies Report #7 was *Executive Outlook on ... the Transformation of Higher Education.*

The full series of HEIRAlliance reports is available through the CAUSE office in Boulder, Colorado, or through the ARL or CAUSE gophers.

Agenda of Issues:
The topic for the next report has been discussed but not determined. Options considered are: intellectual property, economics of information, cost centers and measures, digital library innovations, and licensing (READI project).

Staff Liaison: Duane Webster

Section 3 Collection and Preservation

3.1 Collection Services

This capability addresses the broad issues facing research libraries in the areas of collection management and preservation. The work of two ARL committees is covered by this capability: Research Collections, and Preservation of Research Library Materials.

ARL's collection development efforts are directed toward the program objective of supporting member libraries' efforts to develop and maintain research collections, both individually and in the aggregate. Strategies to accomplish the objective include: efforts toward improving the structures and processes needed for effective cooperative collection development programs; promotion of needed government and foundation support for collections of national importance in the United States and Canada; provision of collection management consulting through the Collection Analysis Program; and development and operation of collection management training programs.

ARL's preservation efforts support the strategic program objective of promoting and coordinating member libraries programs to preserve their collections. Strategies in pursuit of this objective include: advocacy for strengthening and encouraging broad-based participation in national preservation efforts in the U.S. and Canada; support for development of preservation programs within member libraries; support for effective bibliographic control of preservation-related records; strengthening copyright legislation to support preservation activities in the electronic environment; encouragement for development of preservation information resources; and monitoring technological developments that may have an impact on preservation goals.

Summary of Activities
Many of the activities related to this capability are closely connected to other program capabilities or supported by grants, and therefore, several projects are described in other sections. (See especially Section 1.4 AAU-ARL Action Agenda and Section 7 Research and Development.)

3.1.1 ARL Committee on Research and Collections

The primary focus of the Committee on Research Collections continues to be the collaborative relationship with AAU through the three demonstration projects and the development of the AAU/ARL Global Resources Program.

The Tactical Plan for the AAU/ARL Global Resources Program, which was endorsed by both ARL and AAU earlier this year, has been further developed into a proto-proposal for funding. ARL was encouraged, after a meeting at the Mellon Foundation in early September, to submit the proposal for consideration at their December 1996 board meeting. The

proposal builds on the ideas in the Tactical Plan and the lessons of the three demonstration projects, as well as incorporating other elements that support a larger Global Resources Program. Examples of these are:

- a clearinghouse function for ARL to gather and disseminate information on national and international projects of relevance to the provision of global resources;
- an active outreach program to faculty and scholarly associations, in collaboration with the American Council of Learned Societies (ACLS), both through campus visits and a series of symposia at scholarly conferences;
- the identification of "lead institutions" that have linkages to universities, libraries, and research institutes abroad and are committed to building strong collections of materials from a country or set of countries and to assisting users in securing access to resources in all formats;
- partnerships with other library organizations, such as the Center for Research Libraries (CRL), and the Council on Library Resources/Commission on Preservation and Access (CLR/CPA); and
- extensive use of the World Wide Web to publicize collecting strengths, links among institutions internationally, and formal programs of resource-sharing.

At least two other world areas will develop projects such as those designed in the three original demonstration projects. The Global Resources Program will be managed by a full-time Program Coordinator for an initial three-year period, beginning in January 1997.

At the May 1996 committee meeting, the global resources initiative of the Center for Research Libraries (CRL) was discussed. It was decided that ARL should join CRL as a co-sponsor of a foreign newspaper symposium being organized by CRL to take place in the spring of 1997.

The Committee continues to explore the topic of electronic information resources and to develop innovative approaches and structures aimed at sharing these resources. A discussion paper on this topic has been distributed to the committee.

Developmental priorities, 1996-98:

- Continue to evaluate and expand the three demonstration projects.
- Scale up from the three demonstration projects to a distributed Global Resources Program for North American libraries. One of the first steps will be to develop plans for projects covering other world regions.
- Build partnerships with scholarly associations and engage the scholarly community in shaping the Global Resources Program. The immediate strategy is to hold, beginning in early 1997, a series of symposia focused on global resources at meetings of scholarly associations. These will be sponsored jointly by ARL, ACLS, CRL and LC.

Members:	Betty Bengston	(1996-98)
	Claude Bonnelly	(1995-97)
	Joe A. Hewitt	(1994-96)
	Robert Miller	(1995-97)
	William G. Potter	(1994-96)
	Donald Simpson	(1992-97)
	George Terry	(1995-97)
	Barbara von Wahlde	(1996-98)
	Dale B. Canelas, Chair	(1993-96)
	Winston Tabb, Library of Congress Liaison	
Staff Liaison:	Deborah Jakubs	

3.1.2 ARL Committee on Preservation of Research Library Materials

The Preservation Committee has developed a new five-year preservation action plan. The plan focuses on activities that complement ARL's capacities, support the broader mission of member libraries, and acknowledge current trends and issues in North American research libraries. The Committee completed work on the ARL preservation action plan in May 1995, and the ARL Board endorsed the plan at its July 25, 1995 meeting. The focus of 1996 discussions is the development of an implementation plan.

The plan lists an array of ongoing ARL preservation program strategies and identifies six new preservation initiatives. These center on strengthening copyright legislation to support preservation activities in the electronic environment, investigating the feasibility of establishing a national coordinated serials preservation project, developing cost models for preservation decision making, and advancing preservation related digitizing projects, standards, and science research.

The Committee also coordinated ARL's response to the CPA/RLG Task Force on Archiving of Digital Information. A one-day meeting to discuss and prepare the response was conducted at ARL in June. CPA graciously funded the meeting. The

1996/97 priority for the Preservation Committee will be issues of digital archiving and especially maintenance of university-generated digital archives. At its October meeting, the Preservation Committee plans to refine the proposed plan of action for ARL in the digital preservation arena.

Members of the Preservation Committee have also been participating in discussions with the MLA and other scholarly societies about the issues involved in the preservation of primary records. At ARL's suggestion, a meeting was held at the Modern Language Association in New York on December 15, 1995 to discuss the implications for preservation raised in the MLA Statement on the Significance of Primary Records. The purpose of the meeting was to determine collaborative strategies and to plan next steps. It was agreed that MLA and ARL should create a joint working group to pursue the statement's recommendations and an action agenda for education, preservation, and lobbying. A follow-up meeting was held on March 18, 1996, at which the American Historical Association joined MLA and ARL in sponsoring the joint working group. Another meeting including representatives from several interested scholarly societies, the Society of American Archivists, and ARL was held on September 12 in Washington. This group will serve as a steering committee for future action. This meeting confirmed the organizations' desire to work together on these issues and resulted in two short-term tasks: the creation of a background document describing the progress made in preservation over the past 10-15 years (this will be coordinated by ARL); and the creation of a document identifying the intellectual issues that still face us regarding preservation. A meeting to review these documents and determine next steps is planned for late February in the ARL Office.

Members:	David Kohl	(1995-97)
	Martin Runkle	(1994-96)
	Barbara J. Smith	(1996-98)
	William Walker	(1996-98)
	Meredith Butler, Chair	(1995-97)
	Diane Kresh, Library of Congress Liaison	
	Jan Merrill-Oldham, Harvard (Consultant)	
Staff Liaison:	Mary Case	

Section 4 Staffing and Management

4.1 Diversity Program

ARL is charged by its membership ***to identify on an ongoing basis the capabilities and characteristics required for research library personnel to serve their constituencies, and to assist member libraries and educational programs in the recruitment, development and effective use of staff*** (ARL Strategic Objective 6). In pursuing this objective, the membership recognized the importance of both a diverse workforce and an environment open and welcoming to diversity, and established an ongoing capability.

The purpose of this capability is to support and extend efforts within member institutions to promote and develop workforces that are representative of a diverse population and to foster workplace environments where all employees are valued for their uniqueness and personal contributions. These efforts include the recruitment and retention of library personnel from a variety of backgrounds, particularly those from groups traditionally underrepresented in the academic library workforce, and the development of a climate in the workplace that supports and encourages library personnel to recognize and value their similarities and differences.

Background

Over the course of the last five years, the program evolved into its current organizational configuration from a two-part portfolio: a Diversity Program and a Minority Recruitment and Retention Program. The Diversity Program provided information and consulting services to individual libraries on issues surrounding work relationships in libraries, while considering the impact of diversity on library services, interaction with library issues, and the development of collections. The Recruitment and Retention Program focused on developing workplace climates that value diversity but was distinct in seeking alliances external to ARL and member libraries to increase the visibility of research libraries as a desirable career opportunity. For example, the program established a working relationship with leadership in ALISE, the Association of Library and Information Science Educators. In 1995, responding to a recommendation from the incumbent Program Officer, the two programs were merged, and in 1996 the Diversity Program adopted a revised charge to reflect its new standing. The Program operates as a part of the ARL Executive Office with support, advice, and encouragement available from the Diversity Committee.

The Scope of the Diversity Program

The ARL Diversity Program assists libraries in addressing a multitude of diversity-related issues. Its primary concern is the development of workplace climates that welcome, develop, foster, and support diversity. The Program seeks to develop an awareness of human differences that leads to value of and respect for these distinctions. The Program examines issues surrounding work relationships in libraries, while considering the impact of diversity on library services, interactions with library users, and the development of collections. A broad definition of diversity is explored in all seminars and is not limited to racial or ethnic diversity as the only human qualities that make people different, unique, the same, and similar. In addition to diversity, ARL focuses on activities to support and extend local efforts to recruit minorities for careers in research libraries.

To meet the Program's goals, the Program Officer for Diversity provides staff development seminars, presentations, and on-site, e-mail, and telephone consultation; facilitates staff discussions; conducts research via reviews of the literature and site visits to institutions; prepares articles and publications to share the findings from the program; seeks to identify strategies for adaptation by libraries and library schools; identifies issues and strategies relating to diversity and promotes them within ARL as well as to other national library-affiliated groups; and fosters partnerships on behalf of ARL with natural allies in the profession.

Transition Period for the Program
The period between the last ARL Membership Meeting in May 1996 and this Fall 1996 Membership Meeting marks a transition period for the Diversity Program. In this period a search for a new Program Officer for Diversity was conducted. Wide interest was shown in this position and many qualified candidates appeared in the pool. Following a rigorous review of applications and interviews with five highly qualified individuals, an appointment was made in September 1996. The new Program Officer for Diversity will be Ms. DeEtta Jones, currently Director of the Human Rights Office for the city of Fort Collins, CO, and formerly Coordinator for Multicultural Training and Leadership Development at Colorado State University. She will join ARL at the end of this calendar year.

In addition, the ARL Board approved a revision of the Diversity Committee name and charge as requested by that committee. The new name of the committee is the Diversity Committee. (See 4.1.1 for the revised charge.) How these changes are reflected in Program activities will be the subject of planning discussions at the Committee's October meeting.

Summary of Activities

Promote the ARL Agenda for Minority Recruitment
On July 7, 1996, Kriza Jennings, ARL Diversity Consultant, conducted the "Implementing Post-Master's Residency Programs" seminar. The success of this program is the basis for repeating it this fall. Planning began for this and another fall 1996 seminar: "Post-Master's Residency Programs" (9/26/96); and "Promoting Careers in Library and Information Science Professions" (9/30-10/1/96).

Partnerships Program
Preliminary discussions were held with the ARL Publications/Communications staff in regards to producing a publication that will describe ARL's findings from the site visits and consultations relating to the Partnerships Program. The decision was made to wait for the new Program Officer to be in place before moving forward on this initiative.

Diversity Issues in Canadian Libraries
Toni Olshen, York University and Visiting Program Officer for Diversity in 1995-96, was named consultant to the Diversity Committee. Ms. Olshen provides expertise and research experience on the subject of diversity in Canadian libraries and will advise the Committee on how the ARL program can be adapted to fit Canadian settings. Kriza Jennings and Toni Olshen will make consultation visits to York University and the University of Guelph at the end of November.

Personnel
In September, DeEtta Jones was named ARL Program Officer for Diversity. Ms. Jones brings expertise in diversity and minority recruitment and retention areas from Colorado State University. She will begin her tenure with ARL in December 1996. As mentioned above, Toni Olshen was named Consultant to the ARL Diversity Committee. Kriza Jennings, who resigned June 30 as Program Officer for Diversity and Minority Recruitment and Retention, was contracted to serve as Diversity Consultant for ARL until the new Program Officer is in place. In this role, Ms. Jennings has consulted for several ARL institutions and is a co-facilitator of the Fall Seminars. Ms. Jones will be attending one of those seminars as an introduction to the program.

Highlights of the period May 1996 - September 1996

- Five seminars were offered:
  - May 2-3, 1996: "The Role of Assessment in Advancing Diversity for Libraries"
  - July 9, 1996: "Implementing Post-Master's Residency Programs"
  - September 26, 1996: "Post-Master's Residency Programs"
  - September 30-October 1, 1996: "Promoting Careers in Library and Information Science Professions," to be held at ALA Headquarters, Chicago, IL
  - November 7-8, 1996: "The Role of Assessment in Advancing Diversity for Libraries"

  A representative from Pennsylvania State University, where an extensive climate assessment on diversity has just been completed, will be a guest presenter at the November seminar. Other seminar co-facilitators are drawn from ARL libraries.

- Meeting held with the AAUP (American Association of University Presses) in New York during which Kriza Jennings, former Program Officer, shared ARL findings on the subject of diversity. AAUP's program initiatives were discussed, and suggestions were made for other activities that might be pursued.

- Meeting with Ms. Patricia Reichler, Project Director for the Diversity Governance Project of the National League of Cities. Ms. Reichler was a presenter at the October 1995 ARL program. She discussed NLC's findings and initiatives in the area of diversity. An invitation was extended for Ms. Reichler to meet with the ARL Diversity Committee at a future committee meeting to explore collaborative efforts and to share more about NLC's findings in the University and Colleges Governance section of the Association's membership.

- Ms. Jennings attended the NCLIS meeting held in May and worked with a group assigned to discuss services to diverse communities and data collection to benchmark the progress in libraries.

- Drexel University College of Information Studies meeting with Kriza Jennings to explore diversity strategies that could be considered for minority recruitment in the library science program, and to develop the initiatives to be addressed in Drexel's grant from the Kellogg Foundation on redesigning the professional school curriculum.

- On June 4, Kriza Jennings and Toni Olshen presented a workshop at the Ninth Annual Conference on Race & Ethnicity in American Higher Education held in San Antonio entitled "A Diversity Program to Create an Environment that Values Difference and Supports Learning, Research, and Teaching: The ARL Eight-Component Model."
- At the ALA Annual Conference, New York July 1996. Kriza Jennings presented ARL's findings from the six years of site visits at an ACRL Racial and Ethnic Diversity Committee program, "Advancing Diversity in the 1990s: Assessments and Strategies."

- Kriza Jennings, Diversity Consultant, is working with Rutgers University Library to develop a new model for diversity consulting. This model involves having the consultant spend time on-site in the role of internal consultant. This semi-staff position allows increased contact with the staff and the administration and this contact assists the creation of strategies for integrating diversity with the Library's reorganization effort.

Other on-site Consultations, Presentations, Facilitated Discussions

- University of Victoria, British Columbia
- Fairfax County Regional Library, VA
- Cleveland Area Metropolitan Library System (CAMLS), Ohio
- Oberlin College, OH
- Central Rappahonock Regional Library, VA
- Ohio Library Council (OCLC) Annual Conference, OH
- The Johns Hopkins University Libraries, MD
- Enoch Pratt Public Library, MD
- Cleveland Heights-University Heights Public Library, OH

4.1.1 Committee on Diversity

The ARL Committee on Diversity is charged to provide oversight for the shaping and review of this capability and to provide leadership in the development of programming on the topic of diversity in the workplace. The Committee serves in an advisory capacity to the ARL Diversity Officer.

Specific elements of this charge include:

- Monitor developments and trends in academic libraries, library education and higher education that could/will impact the ability of ARL Libraries to recruit and retain diverse workforces including programs designed to attract and support individuals from underrepresented groups to the library and information science professions.

- Contribute to the development of coordinated and comprehensive planning for U.S., Canadian, and regional diversity initiatives.

- Advise in the development and assessment of progress on the plans and strategies of programs promoting diversity in the workplace.

- Monitor to ensure that the activities implemented promote the importance of developing library diversity programs and recognize the impact of this climate on the retention of employees from underrepresented groups in research libraries.

- Encourage ARL Libraries to recognize their responsibilities in recruiting employees from underrepresented groups as part of a North American agenda through strategic forums at ARL meetings.

- Identify ways to promote ARL's leadership in pursuing the diversity agenda, enabling ARL libraries to attract personnel who value and welcome these programs and who are prepared to engage actively in the development of U.S., Canadian, regional, and local initiatives.

- Work with other ARL committees and task forces to develop ARL strategies and to accomplish the goals of ARL pertaining to diversity and the recruitment and retention of employees from underrepresented groups.

- Advise the ARL Diversity Officer on program priorities and initiatives.

- Support the work of ARL's diversity program in assisting ARL libraries to develop organizational cultures and workplace climates that welcome, develop, foster, and support diversity.

- Develop staff that value diversity.

- Promote to ARL members, the consulting programs, seminars, and resource materials developed for the association on minority recruitment, retention and diversity. Encourage member participation so that research libraries will develop

each member library's knowledge and expertise to implement successful programs and strategies that advance diversity in the workplace and the recruitment and retention of employees from underrepresented groups.

Members:	Carol Armstrong	(1996-98)
	Ernie Ingles	(1994-96)
	John Haak	(1996-98)
	Edward Johnson	(1996-98)
	Charles E. Miller	(1994-96)
	James F. Williams	(1996-98)
	Nancy L. Baker, Chair	(1996-97)

Staff Liaison: Kathryn Deiss/DeEtta Jones (effective at the end of the 1996 calendar year)

4.2 Office of Management Services

Established to help research and academic libraries develop better ways of managing their human and material resources, the OMS has assisted library leaders in finding more efficient and effective ways of meeting user needs for over 25 years. Several personnel and organizational changes announced in the past nine months herald the beginning of a new period for the OMS. The OMS Diversity Program was combined with the ARL Minority Recruitment Program under the oversight of the ARL Executive Office. Susan Jurow, Director of OMS since 1990, and Kriza Jennings, Program Officer for Diversity and Minority Recruitment, both announced their departure, effective June 1 and June 30, respectively. Maureen Sullivan, long-time OMS Organizational Development Consultant, moved to the Washington, DC area and was able to provide greater support to ARL and OMS operations and programs as the Office braced for the transition. Toward the end of 1995, three performance centers were established under the OMS umbrella to clarify the character and nature of dues investment for each program and the subsidy of OMS fees. The three performance centers are the OMS Organizational Development Program, the OMS Leadership Development Program, and the OMS Information Services Program. Business plans for these centers were developed which chart movement toward balanced budgets and retirement of outstanding negative fund balances over the next five years. During the transition, greater reliance will be placed on OMS-prepared consultants who work under contract with the ARL.

4.2.1 OMS Organizational Development Program

To assist libraries in making the transition from an archival role to that of an information gateway in a period of limited resources and digital transformation, the OMS Organizational Development Program provides a wide range of consulting services, incorporating new research on service delivery and marketing as well as on organizational effectiveness. Using an assisted self-study approach, the OMS Organizational Development Program provides academic and research libraries with programs to develop workable plans for improvement in such areas as public and technical services, planning, team building, and organizational review and design. The OMS provides on-site and telephone consultation, staff training, manuals, and other materials to aid participants in gathering information and in situation analysis.

Summary of Activities

Activities between May 1996 and October 1996 continue to focus primarily on support for strategic planning efforts and redesigning organizational structure and process.

During this period, projects undertaken included:

Strategic Planning and Planning Retreats. At a time when user demands and expectations are changing, computers and communications technology are redefining library structure and services, and information is being made available in a multiplicity of formats, libraries must consider imaginative and resourceful ways of embracing change without being crushed by it. The Strategic Planning Program is designed to help establish a clearer understanding of the future course a library should take, including priorities, strategies, management philosophy, and ways of meeting new challenges.

Institutions served: Emory University; Harvard Houghton Library; University of Missouri; National Agricultural Library; North Carolina State University; University of Pittsburgh; University of Texas at El Paso.

Organization Review and Design Program and Organizational Rethinking Retreats. The Organizational Review and Design Program has two primary goals: to ensure the optimal use of resources and to create a flexible organizational structure capable of renewing and redirecting itself as needed in the future. During the course of the project, members of the library staff examine the fit of the current structure to current programmatic needs. Careful attention is paid to horizontal and vertical design features, so that the structures developed during the project provide appropriate communication and decision making mechanisms. The process includes participating libraries deploying their own staff to develop new organizational structures.

Institutions served: University of Saskatchewan; University of Minnesota; Washington State University; Clark Art Institute; Emory University; University of Chicago.

Team Building & Retreat Facilitation. Skilled facilitators are available to work with short- and long-term committees, work groups, and library-wide community efforts to build a strong foundation for group effectiveness. Issues such as group development, conflict management, interpersonal relations, idea generation, and process planning are explored. Action planning that supports ongoing efforts is a key component of this program.

Institutions served: Georgetown University Law Center; Pennsylvania State University; University of Guelph; National Agricultural Library.

4.2.2 OMS Information Services Program

The OMS Information Services Program gathers, analyzes, and distributes information on contemporary management techniques, conducts surveys and analytical reviews, and answers inquiries on library issues and trends. The overall goals of the program are identifying expertise and encouraging its exchange; promoting experimentation and innovation; and improving performance and facilitating the introduction of change. These are accomplished through an active publication and service program whose principal components are the Systems and Procedures Exchange Center (SPEC), the Transforming Libraries series, the OMS Occasional Papers, and the OMS Conferences Program.

Summary of Activities

The OMS Information Services Program maintains an active publications program whose principal components are the Systems Procedures Exchange Center (SPEC) and the OMS Occasional Paper Series. Through the OMS Collaborative Research Writing Program, librarians work with OMS staff in joint research and writing projects, which are then published by OMS. Participants and staff work together in survey design, writing, editing, and in seeking management perspectives on current academic concerns.

The Systems and Procedures Exchange Center (SPEC). SPEC Kits organize and collect selected library documents concerning a specific area of library operation. Kits are designed to illustrate the range of current practices in dealing with particular issues. Documents describing both the administrative and operational aspects of the concern are included. While this program was established to exchange useful information for strengthening library operations and programs among ARL members, a number of academic, public, and special libraries worldwide are among the more than 490 SPEC subscribers. In fact, more than 5,000 SPEC Kits are distributed annually.

Increased marketing efforts for the SPEC program are underway; the success of the marketing effort will not be determined until later this year. Because the position of Program Officer for Information Services position was vacant for a large portion of 1994, the program is currently behind in the production of SPEC Kits. This has impacted both distribution and revenue figures due to lack of product. This problem is further exacerbated by the recent problems with late survey responses. Solutions to return the program to an appropriate production schedule include the creation of a new publication subseries entitled *Transforming Libraries.*

Although email distribution of SPEC Surveys began in early 1995, an email distribution list was created and became operational in June 1996 for one-way communication to the SPEC Liaisons. Considerable time will be saved in distributing surveys and other communications.

Efforts continue on updating and expanding the current SPEC Index. An electronic copy of the records pertaining to the SPEC Kits was obtained from the Education Resources Information Clearinghouse (ERIC) which indexes and abstracts all ARL publications. It is planned that this information will be imported into a separate and searchable electronic database that would also be used as the foundation for a printed subject, title, and author index.

The following SPEC Kits were produced between May 1996 and October 1996:

#215 *Library Reorganization and Restructuring*, compiled by Joanne D. Eustis and Donald J. Kenney, Virginia Polytechnic Institute and State University

#216 *Role of Libraries in Distance Education*, compiled by Carolyn Synder, Susan Logue, and Barbara Preece, Southern Illinois University

#217 *Transforming Libraries: Issues and Innovations in Electronic Reserves*, written by George Soete; Editorial Advisor, Jeff Rosedale

#218 *Information Technology Policies*, compiled by Shirley Leung and Diane Bisom, University of California, Irvine

SPEC Kits currently in progress are: Library Homepages; Internet Training; Improving the Reshelving Process; Gifts & Exchange Function; Electronic Resource Sharing; Approval Plans Government Documents; and Educational Backgrounds of Systems Librarians.

Future SPEC topics under consideration: Geographic Information Systems (GIS); Staff Development Electronic Text Centers; Remote Storage; and Copyright.

Transforming Libraries Series. SPEC Kit 217 represents the pilot issue of the Transforming Libraries series, ARL's newest means of publishing information about developments in member libraries and beyond. ARL will publish this subseries of SPEC four times a year, with each volume focusing on a different application or aspect of library technology. As the publication evolves, it will eventually be issued under its own title as a separate publication series.

The purpose of the Transforming Libraries series is to encourage innovative activity in subscriber libraries and to put subscribers in touch with people who are leading technological change in libraries all over North America. The series, edited by George Soete, will focus on how libraries are using technology to transform services and operations. In an

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attempt to be timely and up-to-date, Transforming Libraries will take a reportorial approach to its topics, seeking out libraries that are trying new applications of technology and bringing to you their experiences while they are still innovative.

One important feature of the Transforming Libraries series will be its presence on the World Wide Web <http://arl.cni.org/transform/>. Each issue will contain a direction to a website, which will be managed by a guest Editorial Advisor. Whereas SPEC Kits provide documentation in print, this site will be a place to find both documentation and links to sites related to the technology featured in the particular issue. It will also be a site where readers can advance their own ideas and reactions.

The initial issue addresses Issues and Innovations in Electronic Reserves. Future topics under consideration for this series include: distance education, geographic information systems (GIS), and licensing. We invite readers and libraries to provide feedback on this series and to inform us of their innovative practices.

OMS Occasional Papers. OP 19 *Video Collections and Multimedia in ARL Libraries: Changing Technologies* by Kris Brancolini, Indiana University, and Rick Provine, University of Virginia, was published in October; this paper updates SPEC Kit 199 *Video Collections and Multimedia in ARL Libraries.*

The Occasional Paper, *Assisting Support Staff in Lateral Moves to the Public Service Desk*, by Jennifer Boettcher and Candice Benefiel, Texas A&M University, is in progress and was presented at a poster session at the ALA National Conference in July. Preliminary data and an overview of the poster session can be found on the Internet at <http://www.tamu.edu/library/lateral/proposal.html>. A third OP, *Library Systems Security*, by Scott Muir, University of Alabama, and Merri Beth Lavagnino, University of Illinois-Urbana,, will be underway shortly.

OMS Conferences Program. OMS showcased its programs and services at the ALA LAMA/LITA conference in Pittsburgh.

Careers Resources Website. In January, ARL developed a Career Resources Website that lists job vacancy announcements from ARL member libraries. This service, designed to alert prospective employees to job vacancies and career opportunities within ARL member libraries, provides members with a better forum for advertising their position openings. By September, over 200 job announcements had been posted from a wide array of library service areas. The site also links to other career resource pages. The service was designed and is maintained by Allyn Fitzgerald, Senior Research Analyst. The site address is <http://arl.cni.org/careers/vacancy.html>.

4.2.3 OMS Training and Staff Development Program

The OMS Training & Staff Development Program designs implementation planning and project evaluation. OMS also provides support for libraries by delivering unique and dynamic learning events that actively assist academic and research libraries to recognize, develop, optimize, and refine staff talents and skills.

Increased demand for sponsored Training Institutes and On-Site Learning Workshops and Programs has continued. Organizations, experiencing tightened resources, are finding it more cost-effective and more productive to bring OMS to their site.

Summary of Activities

- Designed and offered the first Facilitating Change: The Internal Consultant Institute at the University of British Columbia.
- Planned and started an extensive training program at Pennsylvania State University to focus on team development and leadership development.
- Contributed to Harvard's Finding Common Ground Conference.
- In collaboration with the Program Officer for Statistics and Measurement, began planning a series of workshops on assessing user satisfaction and statistics.

Workshops and Institutes Offered May 1996 - October 1996

Leadership in a Changing Environment
American Association of Law Libraries 89th Annual Meeting, July 18-19
Strategizes and develops approaches to the successful management of organizational change and explores ways to develop staff commitment and build a productive workplace while allowing time for participants to assess their personal strengths as leaders and prepare action plans for their personal development.

Building Teams for the High Performance Organization
American Association of Law Libraries 89th Annual Meeting, July 20
Focuses on developing the skills required of effective team members as well as an understanding of the tools and techniques for problem solving and decision making.

Library Management Skills Institute I: The Manager
Brooklyn, NY, "sponsored event," Brooklyn Public Library, May 28-31
Washington, DC, "sponsored event," Washington Research Library Consortium, June 4-7, 1996
Chicago, IL, "public event," October 1-4, 1996
Boston, MA, "sponsored event," Boston Library Consortium, October 28-31
Middle and senior managers in libraries participated and were able to address some of the critical leadership issues they face with a focus on the individual and his/her relationship to the library as a whole.

The Art of Communication
National Agriculture Library, September 9, 1996
Focuses on understanding the communication process and exploring ways to improve communication in groups and organizations as well as in interpersonal relationships at work.

Working & Thinking Together
National Agricultural Library, September 10, 1996
Focuses on understanding different roles that contribute to effective performance in groups and developing the skills to work with others, to support and build on the ideas of others, to think together through an organized collective process, to analyze work needs and expected results, to appreciate the differences in working and thinking styles, and to resolve conflict in a positive, productive, and meaningful way.

Working Together: A Seminar for Library & Information Technology Professionals
Pre-conference Seminar of the CAUSE/CNI Southeast Regional Conference, September 11, 1996
Provides an opportunity for a small number of institutional teams of librarians and information technologists to develop techniques to increase the effectiveness of collaborative efforts and to begin a planning process for specific collaborative projects in their workplaces.

Facilitation Skills Institute
Baltimore, MD, September 11-13, 1996
Focuses on skill development as an in-house facilitator who can assume a key role in helping groups and teams produce better quality results.

Library Management Skills Institute II: The Manager's Role in the Organization
New York Public Library, October 7-11, 1996
Focuses on the manager's role as leader in the larger organization. Within the framework of the learning organization, participants explore such issues as organizational communication, shared visioning, strategic planning, and gaining staff commitment to organizational change.

The Learning Organization: Managing Change by Changing the Way We Learn
Pre-conference Program of the LITA/LAMA National Conference, October 12-13, 1996
Focuses on understanding the principles and practices of the learning organization, understanding the dynamics of change and using this information in the development of action plans for managing change in participants' work settings.

Facilitating Change: The Internal Consultant
Kansas City, KS, October 21-23
Examines the basics of organizational development; the methods and strategies of facilitating meaningful and successfully implemented change; the dynamics of organizational change; and the importance of transitions.

OMS/DORAL Management Skills Institute for Library Development Officers
Boulder, CO, October 21-23
Helps research and academic library fund-raisers who have three years or less experience acquire, develop, and refine the skills to meet their development responsibilities.

4.2.4 Committee on the Management of Research Library Resources

The ARL Committee on the Management of Research Library Resources was established to help the Association augment the management capabilities of its members, including the recruitment, development, and effective use of staff. The Management Committee is charged with monitoring developments, determining critical issues requiring ARL attention, informing members, and designing strategic responses that can serve to strengthen the management of research library resources.

The Committee proposed the program for the October 1996 meeting to focus on the university in transition. The effort is designed to provide a more clearly delineated context for the emerging digital library and an opportunity for library directors to influence the thinking of senior university administrators.

1996 Agenda of Issues:

- Support the realization of digital libraries through supporting the transformation of universities
- Provide a framework for the effective recruitment and evaluation of library directors
- Identify activities and projects in the management area to be recommended for action to ARL staff, OMS staff, and the membership

- Develop greater understanding of management and organizational issues through discussions among Committee members and invited guests

Meetings planned in 1996:
Meetings are scheduled in conjunction with the May and October membership meetings.

Members:	Nancy Eaton	(1996-1998)
	Graham Hill	(1995-1997)
	Sarah Michalak	(1996-1998)
	Robert Migneault	(1996-1998)
	Rush Miller	(1995-1997)
	Charles Osburne	(1995-1997)
	Ruth Patrick	(1995-1997)
	Sherrie Schmidt	(1996-1998)
	Carolyn Snyder	(1996-1998)
	Paul Kobulnicky, Chair	(1996-1998)
	William Crowe (ex officio as chair, Statistics & Measurements Committee)	
Staff Liaison:	Maureen Sullivan, Kathryn Deiss, Laura Rounds	

Section 5 Performance Measures

5.1 Statistics and Measurement Program

The Statistics and Measurement Program describes and measures the performance of research libraries and their contribution to teaching, research, scholarship, and community service. This program includes support for the ARL Statistics and Measurement Committee and collaboration with other national and international library statistics programs.

Strategies to accomplish this objective include:

- Collecting, analyzing, and publishing quantifiable information about library collections, personnel, and expenditures, as well as expenditures and indicators of the nature of a research institution;
- Developing new measures to describe and measure both traditional and networked information resources and services;
- Developing mechanisms to assess the relationship between campus information resources and high quality research, the teaching environment, and, in general, the success of scholars and researchers;
- Providing customized, confidential analysis for peer comparisons;
- Preparing workshops regarding statistics and measurement issues in research libraries;
- Sustaining a leadership role in the testing and application of academic research library statistics for North American institutions of higher education; and
- Collaborating with other national and international library statistics programs and accreditation agencies.

Summary of Activities

Published Statistical Reports. The largest portion of this program's resources is devoted to collecting, verifying, analyzing, and publishing the data for the following annual publications:

- *ARL Statistics 1994-95* was published in March 1996, and four copies were mailed to each member library in April. *ARL Statistics* is the standard annual publication that reports growth in research library resources, expenditures, and service activities. The introduction to this report tracks trends in expenditures and unit prices for serials and monographs and in service activities such as interlibrary loan, circulation, reference services, and library instruction. The five variables that comprise the ARL Membership Index were published in the *Chronicle of Higher Education* last May. The 1995-96 survey instrument was mailed to ARL libraries in July and is due back in October.

- *Developing Performance Indicators for Academic Libraries: Ratios from the ARL Statistics* was published in August 1996. Now in its second year it reports thirty ratios calculated from data in the *ARL Statistics* and provides an introduction with a brief literature review on performance indicators in higher education. Copies will be available at the registration desk during the October ARL Membership Meeting.

- Two editions of the *ARL Academic Law and Medical Library Statistics* were published for the first time in May 1996: the fifteen year compilation from 1977-78 to 1991-92, and the three-year compilation 1992-93 to 1993-94. This publication reports trends similar to the *ARL Statistics* but only for law and medical libraries. A copy was mailed to each member library in May. The 1995-96 survey instrument was mailed to ARL libraries in July and is due back in October.

- *ARL Annual Salary Survey* 1996-97 was mailed to ARL libraries in June and was due back at the end of August. The 1996-97 publication is expected to be ready later in 1996 and four copies will be mailed to each member library. This publication presents data on more than 8,000 professionals in ARL libraries. It covers U.S. and Canadian university and nonuniversity libraries, as well as ARL law and medical libraries. The 1995-96 publication reports a $41,000 median annual salary for professionals in university libraries.

- *ARL Preservation Statistics*. The 1994-95 edition was published in May 1996 and two copies were mailed to each member library. Discussions are underway to make next year's publication available through the Internet. Printed copies will be available for purchase only. The 1995-96 survey instrument was mailed to ARL libraries in July and is due back in November.

- Stanley Wilder, author of *The Age Demographics of Academic Librarians*, presented the results of this study at the School of Library and Information Science at Louisiana State University and at North Carolina State Library. An editorial on the book was issued in the September issue of the *Journal of Academic Librarianship* and an article in the *Christian Science Monitor* on the future of librarianship will refer to this work. Stanley Wilder completed this project while serving as a Visiting Program Officer for ARL.

- *Innovative Services*. A new survey was distributed to ARL member libraries this year to inventory innovative services. It gathers information about whether certain services are available at ARL libraries. The data will be published once they have been compiled and analyzed. The survey was mailed to ARL member libraries in July and is due back in October.

Unpublished reports. In addition to the published data compilations, the program prepared for the member libraries two annual unpublished reports:

The *ARL Supplementary Statistics* is a testbed for new variables that may ultimately be incorporated into the *ARL Statistics*. It serves an important role by guaranteeing that questions that may migrate into the regular annual compilation can provide valid and reliable data. The 1994-95 report was mailed to ARL libraries in June. The 1995-96 survey instrument was mailed in July and is due back in October.

The *Library Expenditures as a Percent of Education and General Expenditures* report tracks library expenditures as a percentage of a university budget -- probably the most common budget measure. The trend during the last ten years is a decline in the percentage of library expenditures as a percent of university budget. The 1994-95 report was mailed to ARL libraries in June and it shows that the average library expenditures as a percent of University Expenditures was 3.28%. The 1995-96 survey will be mailed to ARL libraries in December.

Electronic Publishing. *The Electronic edition of the ARL Statistics on the WWW* provides an extensive interactive data analysis component, and is constantly upgraded to provide new features. The latest addition to the ARL statistics pages on the WWW is 10 years of membership data, as published in the *Chronicle of Higher Education* each spring. The Web presentation was prepared by the Social Sciences Data Center of the University of Virginia: <http://www.lib.virginia.edu/socsci/arl/test-arl/>. The data can be displayed as numbers or as graphs: <http://www.lib.virginia.edu/socsci/arl/test-arl/memship.shtml>.

Other electronic statistics products available on the WWW include:

- *ARL Preservation Statistics*
  <http://arl.cni.org/stats/Statistics/presstat/presstat.html>
- *ARL Annual Salary Survey*
  <http://arl.cni.org/stats/Statistics/salary/salary.html>
- Machine readable data for the *ARL Academic Law and Medical Library Statistics*,
  <http://arl.cni.org/stats/Statistics/lawmed/lawmed.html>
- Machine readable data for the *ARL Statistics*
  <http://arl.cni.org/stats/Statistics/arlstat/arlstat.html>
- *Developing Indicators for Academic Library Performance: Ratios from the ARL Statistics*,
  <http://arl.cni.org/stats/Statistics/arlstat/INDICATO.HTML>

Electronic Investments Initiative. The Council on Library Resources awarded a grant of $11,800 to ARL to study the "Character and Nature of Research Library Investment in Electronic Resources." The goal is to develop new definitions that support collection of information about the transformation of research library collections. The study will do secondary analysis on the data collected through the *ARL Supplementary Statistics* during the last three years. This study will identify inconsistencies in the way data on expenditures for electronic resources have been collected and will propose revisions to the current definitions that will increase their usefulness. Carol Mandel, Columbia University, accepted an invitation to serve as consultant to this project. Timothy Jewell, Head of the Electronic Information Program at the University of Washington Libraries, has been appointed as Visiting Program Officer from September 1996 to July 1997 on a part-time basis.

User Surveys Initiative. Kendon Stubbs, consultant to the Statistics Program, is working on developing a manual on user surveys. This initiative progressed during the last year by (a) appointing an advisory committee, (b) carrying forward consulting assignments, and (c) conducting various workshops (July 5th in New York, September 30th at North Carolina State University, and October 1st at the University of North Carolina).

Workshops. A variety of workshops have been organized, and detailed descriptions are available on the WWW <http://arl.cni.org/stats/Statistics/workshop.html>. In particular, the following workshops have been offered or will be offered from May 1996 to March 1997:

The Role of Assessment in Advancing Diversity for Libraries
May 2-3, 1996, Washington, D.C.
November 7-8, 1996, Washington, D.C.

Conducting User Surveys in Academic Libraries
July 5, 1996, New York, NY
September 30, 1996, North Carolina State University, Raleigh, NC
October 1, 1996, University of North Carolina, Chapel Hill, NC
March 31, 1997, University of California-Irvine, CA

Electronic Publishing of Data Sets on the WWW
Oct. 28-30, 1996, Charlottesville, VA
March 12-14, 1997, Charlottesville, VA

Contracts and Consulting. This largely dues-based program is expanding its cost-recovery activities by contracting for custom reports and consulting services. During the last six months, custom reports for peer institution comparison for various ARL member libraries were prepared. Custom reports were drafted from the *ARL Statistics, ARL Performance Indicators,* and *ARL Annual Salary Survey.*

Communications Activities. Communications activities with the ARL Survey Coordinators included management of the three electronic lists for the three annual statistical surveys (arl-statsurvey, arl-statsalary, and arl-statpresv) and organizing a forthcoming meeting for the ARL Survey Coordinators in conjunction with the ALA Midwinter meeting on February 13, 1997 in Washington, DC.

Liaison with External Statistical Programs. ARL has actively sought to cooperate with other library and higher education data gathering efforts, extending the influence of ARL perspectives and seeking experience to assist ARL in refining data gathering and measurement approaches.

ALA/IPEDS Advisory Committee advises NCES on the IPEDS Academic Libraries survey. This committee meets twice a year in conjunction with the ALA meetings, and participants also attend various IPEDS/ALS training meetings. William Crowe, Chair of the ARL Statistics and Measurement Committee, and Martha Kyrillidou, Program Officer for Statistics and Measurement, attend these meetings.

ALA/ESAL Project. Jennifer Cargill, Louisiana State University, member of the ARL Statistics and Measurement Committee, participates at the Advisory Committee for the ALA/Ameritech survey on electronic services in academic libraries.

NACUBO Benchmarking Council. NACUBO is organizing this group to develop performance measurement tools to identify exemplary processes and practices through (a) coordinating the benchmarking activities of participating institutions; (b) leveraging the technical expertise within the Council; (c) taking advantage of economies of scale in conducting benchmarking activities; (d) developing coordinated training efforts; (e) work to develop a national data base of information available to all higher education institutions; and (f) effectively communicate the Council's activities to higher education. The first meeting was held on April 10, 1996. Another meeting is scheduled to take place November 22 in Tuscon, Arizona.

NPEC Council on Postsecondary Education met in November 1995 for the first time and will meet again December 9-10, 1996. The purpose of the Cooperative is "to produce and maintain with the cooperation of the states, comparable and uniform educational information and data that are useful for policy making at the federal, state and local levels." NPEC is a voluntary partnership among governmental and nongovernmental providers and users of education data. The central mission of NPEC is to promote quality, comparability, and utility of postsecondary data and information that support policy development. NPEC is currently sponsoring the following projects: (a) an examination of student outcomes from a policy perspective; (b) student outcomes from a data perspective; (c) unit record data vs. aggregate data; (d) development of a data encyclopedia; (e) achieving better coordination of PSE data collection and exchange; and (f) a study of the impact of future development on PSE data systems.

Coordination with Related ARL Programs. Statistics and Measurement is working with other related ARL programs, including Access to Information Resources, Diversity, Office of Management Services, Preservation, and Research Collections.

Members of the ARL Statistics and Measurement Committee serve as advisors to the ILL Performance Measures Study, which is funded by The Andrew W. Mellon Foundation.

At the operational level, recent activities include planning and participation for ARL technologies through the four-member Technology Team.

5.1.1 ARL Committee on Statistics and Measurement

During 1996, the Committee repeatedly discussed the value of the existing statistical compilations and supported the idea of continuing them. Attention was paid to creating a climate conducive to the timely and accurate data reporting through extensive communication with the member libraries via meetings of the survey coordinators and electronic communication. As a result, the surveys are being returned increasingly closer to the deadlines and there has been a notable decrease in the effort and time required for follow up.

The Program has developed workshops that have been well received. The Committee has advised on the development of the content and "deliverables" from these workshops.
Last, the Committee is placing increased emphasis on the measurement of service quality and expenditures for electronic resources.

1996 Agenda of issues

- Advise on annual projects: monitor and refine *1996-97 ARL Statistics, Supplementary Statistics* questionnaire, 1997-98 *ARL Annual Salary Survey*, and *ARL Academic Law and Medical Library Statistics*
- Advise Kendon Stubbs on developing a manual on how to conduct user surveys and support the work of the 'user surveys' advisory committee
- Refine and distribute a survey on innovative services that improve access
- Advise on the development of an interactive data analysis component of the electronic publication of the *ARL Statistics*
- Advise on collaborative projects with other ARL programs
- Seek funding for applying SERVQUAL in academic libraries (Principal Investigator: Danuta Nitecki)
- Advise Timothy Jewell on CLR funded project on the Character and Nature of Investments in Electronic Resources

Members:	Jennifer Cargill	(1995-1997)
	Carolynne Presser	(1996-1998)
	Ray Metz	(1996-1998)
	Carla Stoffle	(1994-1996)
	William Studer	(1993-1998)
	Don Tolliver	(1995-1997)
	Gloria Werner	(1996-1998)
	William Crowe, Chair	(1995-1997)
	Gordon Fretwell, Consultant Emeritus	
	Kendon Stubbs, Consultant	
Staff Liaison:	Martha Kyrillidou	

Section 6 Supporting Capabilities

6.1 Governance of the Association

The capability for Governance of the Association is intended to represent prudently the interests of ARL members in directing the business of the Association. The governing body is the ARL Board of Directors, whose functions include: to establish operating policies, budgets, and fiscal controls; to approve long-range plans; to modify or clarify the ARL mission and continuing objectives; to monitor performance and the succession of the Executive Director; and to represent ARL to the community. The staff role in this capability is to provide information to the Board adequate to fulfill its responsibilities in a knowledgeable and expeditious manner. The Board establishes several committees to help achieve effective governance of the Association.

1.) Program and Budget Review. At its February meeting, the Board reviewed the 1996 Program Plan and the proposed 1996 resource allocations. The 1996 Program Plan presents the framework of program capabilities as developed by the Executive Director and staff to implement the program objectives and financial strategies. The February Board discussions led to the adoption of the Program Plan and direction to the Executive Director to reallocate resources if needed to engage emergent issues in an agile fashion. There was recognition that the crucial issue of copyright and copyright legislation may call for added investment and may reduce the 1996 contribution to the Board designation reserve fund. The Board also identified a major priority for further development in 1996 as a capacity for research libraries to sponsor and support electronic scholarly publishing.

In July 1996, the Board reviewed the fiscal condition of the Association and developed a financial strategy for 1997. The result was a recommended dues increase for 1997 of $600, for a total of $14,450. In October, the full membership will vote on this recommendation.

Last year, the Board authorized ARL's participation in the National Initiative for a Networked Cultural Heritage (NINCH), subject to development of a creative funding strategy to support the first year of participation. This was achieved through a grant from the Delmas Foundation. This Delmas grant allows ARL to join the American Council of Learned

Societies, the Getty Art History Information Program, the Coalition for Networked Information and a number of other organizations that serve the arts, humanities, social sciences, and disciplines that create and interpret human culture in an initiative to assure the widest possible participation of organizations concerned with our cultural heritage in the evolution of the global information highway. The Delmas funding allows ARL's participation through June 1997.

2.) Association Officers. The 1996 Board is comprised of:

- Nancy Cline - President
- Gloria Werner - Vice President/President Elect
- Jerry D. Campbell - Past President
- Betty L. Bengtson
- William Crowe
- Nancy Eaton
- Kent Hendrickson
- Carole Moore
- James G. Neal
- Barbara von Wahlde
- James F. Williams

Three Board members will conclude their terms this October: Jerry Campbell, Kent Hendrickson, and James Williams. The ARL Nomination Committee (1996), chaired by Gloria Werner and including Pam Andre and Martin Runkle, brought forth a roster of three candidates to stand for election to the Board of Directors. The roster of nominees includes: Shirley Baker, Kenneth Frazier, and William Potter. The election will be held at the October 1996 business meeting.

3.) Committee Activities. In 1996, almost 100 member library directors participate in eight standing committees, various advisory committees and working groups, and 19 liaison assignments. Virtually all interested library directors were involved in ARL groups during the course of the year.

4.) New Member in ARL. In 1995, an ad hoc membership committee was established to consider the suitability of the Ohio University, Athens Library for membership and they completed their work in 1996 with a recommendation to invite. The Committee was comprised of Nancy Cline, Sheila Creth, and Gloria Werner, who served as Chair. The Board brought the recommendation to the full membership at the May 1996 Membership meeting and the membership voted to extend an invitation to Ohio University, Athens Library. Ohio University subsequently accepted, bringing to 120 the number of libraries belonging to the Association.

5.) New Committee established. An ARL Working Group was established to work with representatives of the Modern Language Association's Committee on the Future of the Print Record to consider the development of "Categories of Material having indisputable, artifactual value." Meredith Butler (SUNY-Albany) co-chairs and the group met in September 1996 to consider first steps in establishing an initiative.

Status Report on Standing Committees and Selected Advisory and Project Group Activities

Committee on Information Policies
Chair: James Neal
Staff: Prue Adler

1996 Agenda of issues:
- Advise on the development of ARL legislative strategies, monitor and assess other government policies, especially in regard to the National Endowment for the Humanities examine copyright and intellectual property
- Examine and monitor developments in networking and telecommunications monitor access to government information
- Advise on efforts to strengthen ARL's ability to communicate with policymakers

Committee on Access to Information Resources
Chair: Shirley Baker
Staff: Jaia Barrett

1996 Agenda of issues:
- Promote and support the NAILDD agenda and activities
- Contribute to ARL projects that elaborate the concept of a distributed, multi-institutional research library collection that is linked together and made accessible to users via networked services

Committee on Research Collections
Chair: Dale Canelas
Staff: Deborah Jakubs

1996 Agenda of issues:
- Determine next steps in developing Global Resources Program, electronic information resources and electronic resource sharing
- Advance the distributed research collections concept

Committee on Preservation of Research Library Materials
Chair: Meredith Butler
Staff: Mary Case

1996 Agenda of issues:
- Determine next steps with the ARL Preservation Plan
- Strategies to advance digital archiving
- Collaboration with scholarly societies or intellectual issues associated with preservation

Committee on the Management of Research Library Resources
Chair: Paul Kobulnicky
Staff: Maureen Sullivan and Kathryn Deiss

1996 Agenda of issues:
Examine organizational effectiveness, human resources utilization and development, and library education and recruitment

Committee on Diversity
Chair: Nancy Baker
Staff: Kathryn Deiss, DeEtta Jones (effective end of 1996)

1996 Agenda of issues:
- Promote collaborative efforts with ALISE
- Foster discussions among ARL members, library educators and students to explore recruitment strategies
- Provide leadership to increase visibility of the new capability

Committee on Scholarly Communication
Chair: Elaine Sloan
Staff: Mary Case

1996 Agenda of issues:
- Promote initiatives to encourage publishing electronically
- Monitor developments in the scholarly publishing arena
- Contribute to the development of ARL positions on ownership and copyright
- Monitor and report on publishers licensing plans

Committee on Statistics and Measurement
Chair: William Crowe
Staff: Martha Kyrillidou

1996 Agenda of issues:
- Monitor new questions on 1993-94 ARL Statistics and Supplementary Statistics questionnaires
- Monitor issues raised through participation in ALA-NCES Advisory Committee and other national groups
- Plan a "hot topics" or briefing session for members at a future meeting to discuss new initiatives
- Advise on revision of ARL access inventory

Working Group on Copyright Issues
Chair: James Neal
Staff: Duane Webster and Prue Adler

Assignment: To advise on ARL activities and interests on intellectual property and copyright matters

Firm Subscription Prices Working Group
Chair: Elaine Sloan
Staff: Mary Case

Assignment: To maintain a dialogue with the vending and publishing community to attain prices for the subscription year early in the previous calendar year

Working Group on Scientific and Technical Information
Chair: Marilyn Sharrow
Staff: Jaia Barrett

Assignment: To monitor STI developments and to function as advisor to the Board for shaping further ARL activities in this area

AAU-ARL Research Libraries Steering Committee
Co-chairs: Jerry Campbell and Myles Brand
Staff: Duane Webster and John Vaughn

Assignment: To promote implementation of the AAU-ARL action agenda that resulted from the AAU Research Libraries Project

Advisory Committee on ILL Performance Measures
Chair: Shirley Baker
Staff: Mary Jackson

Assignment: To advise on conduct of project

ARL-MLA Working Group on Preservation Issues
Chair: Meredith Butler
Staff: Mary Case and Duane Webster

Assignment: Develop on action agenda for education and preservation

6.2 Communication and External Relations

The capability for Communication and External Relations is designed to: acquaint ARL members with current, important developments of interest to research libraries; inform the library profession of ARL's position on theses issues; influence policy and decision makers within higher education and other areas related to research and scholarship; and educate academic communities about issues related to research libraries.

Through print and electronic publications as well as direct outreach, members of the library, higher education, and scholarly communication communities are informed of important developments and ARL positions on issues that affect the research library community. External relations with relevant constituencies are also carried on through all ARL programs.

6.2.1 ARL Publications Program

Communications Priorities in 1996

• **Analyze sales and develop marketing strategies for ARL publications.** In recent months ARL has expanded its marketing efforts for ARL Publications. The ARL Statistics and Measurement Program, the Office of Scholarly Communication, and the OMS Information Services Programs have all embarked on marketing campaigns in 1996 designed to reach wider audiences. Working with ARL's communications team (Allyn Fitzgerald as principal coordinator) and Kevin Flood (Library of Congress), a marketing consultant, two publication-specific brochures were designed and distributed to over 80,000 individuals. In addition, print advertisements have been placed in three library journals with large readerships. Plans are underway for a targeted effort to expand subscriptions to the ARL Newsletter. ARL sales analysis for the past two years indicates that 80% of publication sales comes from outside the membership and that increasingly our publications are being bought by new customers outside of the research library community. In the current marketing efforts, public and special libraries have been targeted. An additional effort is underway to expand our customer base outside North America. Another possibility for increased marketing involves soliciting advertisements from service providers who are an increasing segment of the ARL customer base.

• **Develop centralized mailing list for ARL** (see Section 6.2.2).

• **Develop 3- to 5-year plan for the Communications Program.** Through the ARL communications team, ARL staff have undertaken efforts to streamline the processes within the Executive office for publication development and production. One effort in this direction is development of guidelines for staff as they undertake activities in electronic and print communications. The ARL publications program has facilitated publications for every ARL program, including the Coalition for Networked Information in the past 6 months. Additionally, electronic publishing efforts are being expanded under the direction of the Electronic Services Coordinator.

• **Maximize effective technology utilization, including exploring the feasibility of enhancing the publications accounting software system.** During the summer months, ARL staff re-evaluated the current accounting software and hardware used to track and manage ARL publications processing. With expanded marketing efforts, an increase in the number of publications available, and an increased customer base, the recommendation is to either upgrade or enhance the current system. An additional option under consideration is to outsource management of the publications fulfillment process.

• **Explore options for enhancing electronic publishing efforts through cost recovery mechanisms.** Even as ARL promotes electronic publishing within the scholarly community, we are not yet sure how our publications program will most effectively make this transition. ARL aims to encompass and optimize new computer and telecommunications technologies, while continuing an appropriate print publications program. Until a secure and dependable mechanism is in place for cost recovery for electronic publishing, the Association must absorb the costs of what it publishes on the Internet. In the meantime, the Internet offers the ability to provide no-charge services to members and other users. Because the cost of

distributing works on the Internet is so low (most of the costs are expended on the first copy), ARL is able to give away far more information than in a print-only environment, where extra copies must be printed and mailed to readers.

Development of a plan to enhance ARL's communications capability and maximize use of both print and electronic formats is in progress. An initial step toward this goal is to make more ARL publications available on the ARL server. (See electronic services section for update on enhancements to the ARL server.)

• **Evaluate the copyright policy for ARL publications.** In 1996, the ARL communications and copyright teams worked together to reevaluate and update the ARL copyright policy for ARL publications. A priority was to ensure that the copyright statement on ARL publications conform to ARL's position on copyright - especially with regard to fair use. The statement which applies to print and electronic publications is:

ARL grants blanket permission to reproduce this work for library, educational, and not for profit works, provided that copies are distributed at or below cost and that full attribution is given.

Summary of Activities

1.) Newsletter. Two issues of *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* were published since May 1996. Jaia Barrett, Deputy Executive Director, and Michael Matthews, Communications Specialist, serve as editor and copy manager, respectively. Topics covered in these issues included copyright, issues in higher education, updates on library statistics, trends in preservation activities, and reports from individual programs and capabilities. Issue 186 also included a supplement article that reported on the Conference on Fair Use (CONFU).

Beginning in May 1996 and subsequent issues of the ARL newsletters are being made available on the ARL Web (see Section 6.2.2).

2.) ARL-Announce. Established in January 1995, this service provides electronic updates about ARL activities to the community outside of ARL. The subscriber base continues to grow, and for the first time news items about ARL member library activities were distributed via ARL-Announce.

3.) Information Packets and Brochures. ARL regularly receives information requests on a vast array of topics from a variety of sources, including students, educators, the press (scholarly and popular), and representatives of the information industry. To facilitate these requests, ARL Publications has developed Focus Flyers on particular topics and a standard ARL Information Packet that includes key resource documents about ARL programs and services, including: fact sheets, recent press releases, a publications catalog, OMS training schedule, and information about pertinent resources available on the ARL Server. Focus Flyers that have been updated or added since May include Economics Issues, Copyright, Preservation, and Interlibrary Loan. In addition, ARL released brochures on the ARL Directory of Electronic Journals and the SPEC Publications Program. An update of the ARL publications catalog is in production and will be available in December 1996.

4.) Outreach to Library Community. ARL exhibited its programs and publications at the annual meeting of the American Association of Law Libraries (AALL). This was a pilot effort to expand outreach efforts within the library community. Plans are underway to exhibit ARL materials at the Special Libraries Association meeting in 1997. ARL will exhibit at the LITA/LAMA meeting in Pittsburgh October 1996. ARL also displays its publications annually at the Frankfurt Book Fair. In addition, ARL materials were displayed at the April and September ARL workshops on copyright.

5.) Relations with the Scholarly Community and External Groups. Collaboration on both a technical and policy level is documented under all individual capabilities. Activities at the executive level in the past six months include collaborations with, among others, the Association of American University Presses, the National Humanities Alliance, the Modern Language Association, NASULGC, the Association of American Universities, the American Council of Learned Societies, and CAUSE. In July, ARL hosted a one-day symposium held in conjunction with the ARL Board meeting where members of the scholarly community addressed current copyright issues. A summary report of this meeting was distributed via ARL-Announce to the ARL membership and to the library and education communities.

6.) ARL Communications Team. The team consists of the Information Services Coordinator, the OMS Program Officer for Information Services, the Electronic Services Coordinator, the Office Manager, the Communications Specialist, the Senior Research Analyst, and the Publications Clerk. In 1996, the Team is focusing on three areas: creating a marketing plan for the Association, outlining strategic options for publication program development in the future, and developing a centralized mailing list. In August, Colleen Keller was appointed Publications Clerk.

7.) Publications Fulfillment: In 1994, ARL consolidated and outsourced the publications fulfillment for all ARL/OMS programs to International Fulfillment Corporation (IFC). In May 1996, ARL staff and IFC undertook a review of operations and a decision was made to find another agency to better match ARL's needs. The new agency, Publications Management, Distribution Services (PMDS), will begin working with ARL on October 7, 1996. PMDS specializes in small associations and can offer a range of services not available from the current provider.

8.) ARL Publications May - October 1996.

- ARL Newsletter (2 issues)
- *Directory of Electronic Journals, Newsletters and Academic Discussion Lists*
- *Developing Indicators for Academic Library Performance*
- *The Economics of Information in the Networked Environment*

- *Copyright and the NII: Resources for the Library and Education Community*
- *A Copyright Handbook: An ARL Compilation of Key Resources for Librarians*

(For OMS Publications, see Section 4.2.2.)

6.2.2 Electronic Communications and Technology

Development of the ARL Server on the Internet.
ARL Web: <http://arl.cni.org/index.html>
ARL Gopher: <gopher://arl.cni.org/>

Under the direction of the E-services Coordinator, the ARL website has been enhanced and added to over the past six months. In addition, Kim Maxwell, a graduate student at the Catholic University School of Library and Information Science, worked with the E-services Coordinator to develop a template for ARL Web pages while completing a practicum on HTML. The template will contribute to a unified graphic identity for the ARL Web while still allowing individual programs freedom to be creative in their areas. Kim's contribution was the design and mark-up of the 1996 ARL Newsletter issues. Beginning in 1996, each issue of the ARL Newsletter will appear on the Web.

Planned enhancements to the ARL Web server are image maps, a search engine, a web link checker and an analysis of usage statistics. Work is underway to compile and configure the search software, Glimpse, a search engine that is compatible with the server's NeXTStep operating system. In addition, Getstat, a package to analyze usage of the ARL Web server, has been compiled and configured but will require further testing to refine the output generated. The web link checker, MOMspider, has also been compiled and installed. The first project to utilize MOMspider's capability was to verify the links to the 1,700 titles in the Web version of the Directory of Electronic Journals and Newsletters.

The following sites were either added or significantly revised in the last six months:

Access & Technology Program/NAILDD Project
<http://arl.cni.org/access/access.html> — contacts: Jaia Barrett and Mary Jackson

Collection Development
<http://arl.cni.org/collect/collect.html> — contact: Deborah Jakubs

ARL Member Libraries' Information Servers
<http://arl.cni.org/members.html> — contacts: Dru Mogge and Judith Hopkins (University of Buffalo)

Calendar
<http://arl.cni.org/arl/arlfacts.html> — contact: Dru Mogge

Directory of Electronic Journals and Newsletters
<http://arl.cni.org/scomm/edir/index.html> — contacts: Mary Case and Dru Mogge

Federal Relations Notebook
<http://arl.cni.org/info/frn/info.html> — contacts: Ann Doty and Prue Adler

Newsletter
<http://arl.cni.org/newsltr/newsltr.html> — contacts: Kim Maxwell and Jaia Barrett

Publications Catalog (revised)
<http://arl.cni.org/pubscat/index.html> — contacts: Patricia Brennan and Michael Matthews

SPEC
<http://arl.cni.org/spec/specdesc.html> — contacts: Laura Rounds and Michael Matthews

Statistics (revised)
<http://arl.cni.org/stats/Statistics/stat.html> — contact: Martha Kyrillidou

Management of ARL Electronic Discussion Groups. In May 1996, the 48 electronic discussion groups sponsored by ARL were consolidated into the same software. Now, all lists administered by ARL will use the CREN ListProcessor, v7.2, software. Previously, some lists were administered using a simple mail reflector program. One of the benefits of the ListProcessor software is that it automatically archives all messages. We will be upgrading to v8.0 in the near future. Electronic lists continue to be an important means of communication between members of ARL committees and working groups.

Installation and Configuration of New Hardware, Software, and Upgrades. Although no new hardware was purchased during this time period, several computers were moved around the office to make better use of the equipment with the changes in staffing. Minor hardware upgrades, such as adding memory, have enabled some staff to continue using their current computers. Macintosh operating system software was upgraded on several machines and some users received software upgrades.

Technology Support for ARL Staff. The Electronic Services Coordinator responds to individual needs for technical support throughout the office. The wide range of support issues includes working with particular software applications and trouble-shooting hardware malfunctions. ARL continues to investigate different options for staff training.

ARL Technology Team. Current issues facing the Technology Team are staff training and redesigning the ARL Web server. In addition to finalizing a policy on staff computer usage, the Technology Team has plans to review guidelines for staff to follow when creating HTML documents for the ARL Web Server. Mary Case, OSC Director, joined the Technology Team in June.

ARL Communications Team. A comprehensive mailing list has been compiled and we are in the process of coding each of the 3,200+ entries so that different sub-sets of the list can be used to meet different mailing list needs within the ARL offices. The File Maker Pro database is housed on a Mac server and is accessible by all staff, Mac and Windows users alike, from their desktop computers.

6.3 ARL Membership Meetings

The ARL membership meeting capability is designed to develop programs on topics of interest to the ARL membership, schedule and manage meetings and activities, coordinate local arrangements, and evaluate the success of these meetings. The May meeting emphasizes a topical program, coordinated by the ARL President; the October meeting focuses on internal finances, elections, and strategic planning.

Summary of Activities

May 1996 meeting. The site of the May 1996 meeting was Vancouver, British Columbia, hosted by the University of British Columbia. The program theme was "Leading the Agile Library Organization" and was developed in collaboration with the Canadian Association of Research Libraries.

October 1996 meeting. The fall membership meeting sessions explored the theme "Refining Higher Education."

Some papers from the May 1995 meeting held in Boston are available on the ARL Server <http://arl.cni.org>.

6.4 International Relations

The International Relations capability is designed to monitor activities, maintain selected contacts, identify developments on issues of importance to North American research libraries, and share experiences of North American research libraries that may contribute to the development of research libraries internationally. This capability draws on staff and projects across several ARL programs. As with scholarly relations, international relations represents a capability that is manifested by activities in several separate program areas rather than through a consolidated office.

Dorothy Gregor, consultant to ARL, now represents ARL to the National Coordinating Committee on Japanese Library Resources. The committee's mission is "to mobilize the resources of information providers, information users, and funding organizations toward the long-range goal of creating a comprehensive national system of cooperative collection, development, and ready access to Japanese information in as wide a range of fields as possible for all current and potential users in North America."

Prue Adler serves as the ARL representative on the Department of State Advisory Panel on International Copyright, Advisory Committee on International Intellectual Property, addressing GATT, the WIPO Copyright Program, and related issues.

Deborah Jakubs and the Collections Committee is involved with international analyses and collaborations, including projects on foreign publications and Latin American Studies and the German and Japanese Research Resources projects that are in the planning stage. Also in the planning stage is a symposium that will partner with ACLS to examine the issues related to the adequacy of library and information resources to support internationally-connected scholarship in the U.S. and abroad.

An invitation by the U.S. Associations to IFLA to hold the General Conference of 2001 in the U.S. was accepted by the IFLA Steering Committee. A National Organizing Committee (NOC) was established to oversee the planning and operation of the IFLA Conference in Boston. The Committee is comprised of the Chief Executive Officer and a designated member leader from each of the seven Associations comprising the American delegation to IFLA. The Committee met in September to develop the organizational structure for the effort. It is expected that the Committee will meet quarterly for the next five years. ARL's representatives to the NOC are James Neal and Duane Webster.

The 62 IFLA General Conference was held August 25-31 1996 in Beijing, China. Nearly 2,600 delegates from 94 countries participated, giving one of the largest attendance recorded for an IFLA conference. The American delegation was almost 200 including 14 ARL directors. Currently, 57 ARL directors are assigned IFLA committees. The theme of the conference was "The Challenge of Change: Library and Economic Development." Topics dealt with electronic technology and its impact on information flow. A statement on copyright was advanced by the conference, affirming that copyright protection should not hinder information flow. Copyright was the centerpiece of discussions at the U.S. Caucus. Jim Neal and Mary Jackson assessed the international implications of copyright and the potential negative impact of proposals submitted by the Clinton Administration and the European Union for discussion and possible adoption at the December, 1996 WIPO Diplomatic Conference. The 63rd IFLA conference will be held in Copenhagen, Denmark, with the theme "Libraries and Information for Human Development."

Two important pre-IFLA conferences were held in China. The first was the China-U.S. Conference on Global Information Access held at the National Library of China. This conference included presentations by Hwa-wei Lee, James Neal, Donald Riggs, Winston Tabb, and Duane Webster.

There was also a three day pre-IFLA Conference on Copyright held at the Tianjin Public Library. The conference attracted nearly 60 Asian, European, Australian, and North American delegates representing publisher, reproduction rights organizations, and libraries. Mary Jackson represented ARL and presented a paper on copyright issues in North America.

6.5 General Administration

General Administration encompasses overall coordination and management of the Association, staffing, financial planning and strategy, space planning, fiscal control, secretarial support, and office operations.

1.) *Financial Status as of August 1996*
The 1996 ARL financial plan approved by the Board projects a deficit of $25,000 for the Executive Office that includes revenue of $2,072,750 and expenditures of $2,097,750. The budgeted deficit is the result of the need to continue support for the Shared Legal Capability, the Digital Futures Coalition, participation in the Conference on Fair Use (CONFU), and other efforts to address copyright issues. This budget assumes an allocation of $60,000 to the permanent reserve and a commitment of $25,000 to the ARL portion of the Shared Legal Capability. The August financial report indicates that we are on budget for expenditures for the Executive Office for the first eight months. Revenue projections are lagging in publications and conference fees but are otherwise conforming with expectations. 1996 Budget goals for the Executive Office are expected to be reached.

The OMS is budgeted for revenues of $754,100. The August financial report indicates expenditures are 8% less than projected but revenue is 16% less than projected. At the end of August the OMS deficit was $42,000. Subscription renewals and other expected revenue in the fourth quarter should result in balancing the OMS budget.

The Office of Research and Development is showing a $66,000 deficit at the end of August due to new accounting rules governing the reporting of restricted funds. It is expected that the ORD will have a balanced budget by the end of the year.

The audit of 1995 fiscal activities was conducted by Meyer and Associates during the first quarter of 1996. The audited 1995 financial report indicates an excess of revenue ($3,163,800) over expenses ($3,155,400) for the year. The General Operating Fund, including the Office of Research and Development, had a $59,000 positive balance. The Office of Management Services (OMS) experienced a $50,600 deficit. The OMS shortfall was applied to the negative fund balance developed over the last several years, extending it to a minus $110,850. An annual contribution of $60,000 was made to the Board Designated Reserve along with $20,000 of interest earned on the Reserve during 1995. The Board Designated Reserve totaled $398,900 at the end of 1995. The unrestricted fund balance (net assets) was $339,200 at the end of 1995. This is the seventh consecutive year of balanced operating budgets for the Association.

ARL membership may note some changes in format and terminology for the 1995 audited report. This is the result of implementing two new accounting standards (SFAS number 116 and 117). One of the most visible aspects of this change is the posting of the Coalition of Networked Information accounts on the same page as the General Operating Fund and the Office of Management Services creating a totals column that is not of operating or practical value but does serve to illustrate the legal and fiduciary relationship of the CNI to ARL.

2.) *ARL 1997 Financial Strategy.* The ARL Board of Directors propose a steady state ARL budget and minimal membership dues increases as the 1997 financial strategy. The Board identified the following elements of the 1997 budget that warrant an incremental dues increase: 1) Continued support for copyright related activities; 2) merit-based salary adjustments; and 3) increases in the costs of office operations. Thus, the ARL Board of Directors recommended for membership consideration at the October business meeting a dues increase for 1997 of $600 to a level of $14,450. The recommendation represents a 4.3% increase. The 1997 dues recommendation continues the pattern of incremental increases recommended by the 1989 Financial Strategy Task Force, whose work has formed the basis for major financial decisions over the last seven years. This financial strategy also calls for a continuing commitment to building a reserve fund to support innovative projects, and membership approval of any new programs that have dues implications.

3.) *Personnel Resources.* Important changes took place with ARL staff since May:

- Mary Case was recruited to join ARL as Director of the renamed Office of Scholarly Communication effective June 1, 1996.
- Jutta Reed-Scott, Kriza Jennings, and Susan Jurow announced plans to retire/resign from ARL during 1996.
- Deborah Jakubs was appointed part-time VPO for six months to develop the Global Resources Program previously managed by Jutta Reed-Scott.
- After a recruitment process and interviews with five candidates, DeEtta Jones was named Diversity Program Officer. She will begin her duties at the end of 1996.
- In August, Colleen Keller was appointed Publications Clerk on a temporary basis, to fill the position left vacant since March.
- Patricia Brennan, Information Services Coordinator, announced plans to take a six month leave of absence to work in Ireland effective December.

4.) *Electronic Communications and Technology.* See Section 6.2.2.

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Section 7 Research and Development

7.1 Research and Development

The ARL Office of Research and Development (ORD) consolidates the administration of grants and grant-supported projects administered by ARL. The major goal within this capability is to identify and match ARL projects that support the research library community's mission with sources of external funding. The ARL Visiting Program Officer project is also a part of this capability (see Section 7.1.1).

Summary of Activities
Descriptions of individual project activities appear on the following pages.

- *Proposals submitted and pending*
  - German Demonstration Project
  - Measuring the Quality of Library Services
- *Projects under development*
  - AAU/ARL Global Resources Program
  - Cost Models for Preservation Decision Making
  - The Endangered Monograph
  - Library Security
- *Ongoing Project activities in 1996*
  - The Character and Nature of Research Library Investments in Electronic Resources
  - NRMM RECON: Non-Roman and Musical Scores
  - Latin Americanist Research Resources Project
  - Streamlining Network ILL/DD Requests for Users & Libraries
  - Japan Journal Access Project
  - Copyright Education Initiative
  - ILL/DD Cost and Performance Measures
  - Shared Legal Capability on Intellectual Property
  - National Initiative for a Networked Cultural Heritage

Summary of ARL Grant-Funded Activities, May 1996 - September 1996

The Office of R&D was established to provide the Association with a point of coordination for grant seeking activity and idea management. The ORD provides a consolidated picture of ARL activities that are operated with "soft" funds. All ARL program officers play roles in the development of project concepts and funding contacts.

Proposals Submitted and Pending:

1.) *German Demonstration Project.* A Working Group has developed a workplan and implementation strategy for coordinated collections and delivery services for German social science library resources. The Library of Congress has agreed to provide operational support for the project. A proposal for funding initial project planning and start-up is being discussed with potential partners. (Contacts: Sarah Thomas, Winston Tabb, Deborah Jakubs)

2.) *Measuring the Quality of Library Services.* The Statistics & Measurements Program collaborated with Danuta Nitecki on a project to explore the applicability of the SERVQUAL instrument as a reliable diagnostic tool to measure customer criteria for service quality. Library services under consideration for the project scope are: reference, circulation and/or reserve, ILL, bibliographic instruction, and electronic services. Dr. Nitecki prepared a proposal that was submitted to the Council on Library Resources in April 1996. If funded, Dr. Nitecki, who is now at Yale University, will be the principal investigator as a Visiting Program Officer; ARL will play an advisory role (via the Committee on Statistics and Measurement) and contribute technical support for a survey of approximately nine libraries. (Contact: Martha Kyrillidou)

Projects under Development:

1.) *AAU/ARL Global Resources Program.* AAU and ARL staff met at The Andrew W. Mellon Foundation in early September to discuss plans for the Global Resources Program. On the basis of that conversation, ARL was encouraged to submit to the Mellon Foundation for consideration at their December 1996 meeting, a proposal for funding to support the Program over three years. See Section 3.1.1 for a description of the program elements. (Contact: Deborah Jakubs)

2.) *Cost Models for Preservation Decision Making.* ARL's Preservation agenda calls for a cost model to compare the cost effectiveness of various strategies for preserving collections. Strategies to be embraced include all options, from conservation of the artifact to reformatting (including digitization) within the context of collection use, condition, and value. A proposal will be developed to engage a consultant to develop a feasible methodology. (Contacts: Mary Case, Jaia Barrett)

3.) *The Endangered Monograph.* ARL and the American Historical Association (AHA) are developing a project to design and test the functionality of an electronic database of monographic literature important for teaching and research in historical studies. The goal is to identify strategies to publish and disseminate monographic literature that are more cost effective than the traditional print model for readers, publishers, and libraries. Targeted material are books out-of-print but in-demand and new monographs that would be produced in short print runs. Partners envisioned for the project include

three or four university presses, about 10 associations affiliated with AHA, and ARL libraries with a preservation program. A project proposal is being discussed by potential participants. (Contacts: Mary Case, Jaia Barrett)

4.) *Library Security*. Because library security is an area of specialized knowledge, ARL is seeking the support of the Council on Library Resources to hire a committed, experienced firm to assist in the development of assessment materials and to provide training in the area of security for ARL staff who will undertake the program development and implementation.

The program will consist of an initial site visit by the project consultants, who will meet with a local project team to outline the process and tour the library's facilities. An audit to assess current security vulnerabilities, threats, capabilities and performance will be undertaken and analyzed by the consultants. Recommendations will be prepared and a plan of action will be jointly developed with the local project team. The project consultants will monitor and support the implementation including the provision of training and training-the-trainer programs to ensure ongoing attention to the issues. (Contacts: Patricia Brennan and Duane Webster)

Ongoing Funded Projects:

1. *The Character and Nature of Research Library Investments in Electronic Resources.* The Council on Library Resources provided $11,800 to support a review and assessment of three years of ARL supplementary survey data about research library expenditures for electronic resources. The goal is to identify options for more meaningful and credible measures about the nature and character of research library investments in electronic resources. The University of Washington is supporting Timothy Jewell, Head, Electronic Information Program, to work with Martha Kyrillidou as a Visiting Program Officer to undertake this analysis for ARL. (Contact: Martha Kyrillidou)

2. *National Register of Microform Masters (NRMM) RECON Project: Non-Roman Reports and Musical Scores.* In May 1996, the National Endowment for the Humanities awarded ARL a grant of $114,000 in support of the final phase of the NRMM RECON Project. In cooperation with the Library of Congress and New York Public Library, ARL will manage a cooperative project for creating more than 13,800 online records for non-Roman reports as well as for other remaining NRMM reports. ARL is using the OCLC Conversion Services to produce the records. Scheduled to end in September 1997, this final NRMM project completes a complex, multi-year effort to provide online access to more than half a million bibliographic records for preservation microform masters. Also with support from the NEH is work that is concurrently underway to create machine-readable records for approximately 7,200 NRMM reports for musical scores. This component of the NRMM project is scheduled to conclude in October 1996. (Contact: Jutta Reed-Scott)

3. *Latin American Research Resources Project.* The aim of the project is to make available a broader array of resources to Latin American students and scholars, to restructure access to these collections on a comprehensive scale, and to assist research libraries in containing costs (see Section 1.4 of this report for project activities update). The start-up Project funding was received from The Andrew W. Mellon Foundation and thirty-five participating ARL Libraries. Brigham Young University supports Mark Grover's role as VPO/Project Coordinator. In October 1995, The Mellon Foundation awarded ARL a $125,000 grant for the second phase of the project. (Contact: Deborah Jakubs)

4. *Streamlining Network ILL/DD Requests for Users & Libraries.* In November 1995, OCLC agreed to collaborate with the NAILDD Project to build a standards-based linkage between the AAU/ARL Table of Contents Database located at UT-LANIC, and the OCLC ILL messaging system. The linkage was operational in March and allows network users to initiate an ILL/DD request for an article cited in the database and have it forwarded into the online system of the holding library and, if desired, into the system of the user's home library for user authentication. Lessons from this application will be applied to other databases, other ILL messaging systems, and sets of libraries. As part of its contribution to the scaling up the AAU/ARL demonstration projects, OCLC has agreed to supply the same kind of system linkages for up to a dozen additional databases. (Contacts: Deborah Jakubs and Mary Jackson)

5. *Japan Journal Access Project.* The goal of the Japan Project was broadened to demonstrate a network-based program that improves North American access to Japanese journal literature in all disciplines. Without minimizing the importance of improved access to scientific and technical information, the expansion in scope is the result in part of the interest and support of the National Coordinating Committee on Japanese Library Resources (NCC), and, in part at the urging of the AAU/ARL Steering Committee that the foreign acquisitions projects be scaled up as quickly as possible. Coordination of the project is shared by Don Simpson, President of the Center for Research Libraries, and Dorothy Gregor, consultant to ARL. The NCC and OCLC provide support for Dorothy Gregor's role and Ohio State University Library maintains project files as part of the East Asian Libraries Cooperative WWW site. (Contacts: Dorothy Gregor, Don Simpson, Deborah Jakubs, Jaia Barrett)

6. *Copyright Education Initiative.* The H.W. Wilson Foundation awarded ARL funding to develop an educational initiative on copyright compliance. The initiative includes development of training resources to assist library managers. The initiative supported the design of workshops for librarians who have a training or spokesperson role in copyright compliance. Three workshops for U.S. librarians were held (fall of 1995 and spring of 1996 in Washington, DC, and fall of 1996 in Seattle, hosted by the University of Washington). In addition, in collaboration with CARL and the Association of Universities and Colleges of Canada, ARL developed a workshop for Canadian educational institutions to be held October 3-4, 1996 in Ottawa. To date, two publications have resulted: a notebook used in the workshops and a Copyright Resources Handbook. (Contacts: Mary Jackson, Jaia Barrett)

7. *ILL/DD Cost and Performance Measures.* In June 1995, the Andrew W. Mellon Foundation awarded ARL $160,000 to conduct an ILL/DD Performance Measures Project. This cooperative project, developed with Martin Cummings of the Council on Library Resources, will study the cost and performance of interlibrary loan and document delivery services. Phase 1 of this 24 -month study, concluded during the summer of 1996, was a follow-up to the 1992 ARL/RLG ILL Cost

Study in order to expand the survey instrument used in that study. Phase 2 began this August with an invitation to libraries to participate in data collection using the new instrument. Over 80 libraries have joined the new study. (Contact: Mary Jackson)

8. *Shared Legal Capability.* ARL organized and manages a fund for legal expertise on intellectual property and the NII. The American Library Association, the American Association of Law Libraries, the Medical Library Association, and the Special Libraries Association have each contributed or pledged $25,000 toward this fund in 1996. In September, SLA agreed to contribute $10,000 to the SLC fund for development of a set of principles to guide non-profit and for-profit libraries in negotiating license agreements with vendors of digital information resources. (Contacts: Duane Webster, Prue Adler)

9. *NINCH.* The Gladys Kreible Delmas Foundation awarded ARL $10,000 to join the National Initiative for a Networked Cultural Heritage (NINCH). The initiative seeks to encourage the development of the NII as a means to preserve, access, and creatively build on our cultural legacy. In the spring of 1996, David Green was appointed Executive Director of NINCH. The ARL Board met with him in July; the ARL Access to Information Resources Committee will meet with him this October. (Contact: Duane Webster)

7.1.1 ARL Visiting Program Officer Program

The ARL Visiting Program Officer (VPO) program provides an opportunity for a staff member from a member library to assume responsibility for carrying out part or all of a project for ARL. It provides a very visible staff development opportunity for an outstanding staff member and serves the membership as a whole by extending the capacity of ARL to undertake additional activities.

Typically, the member library supports the salary of the staff person, and ARL seeks grant funding to cover travel or other project-related expenses. Depending on the nature of the project and the circumstances of the individual, a VPO may spend extended periods of time in Washington, DC, or may conduct most of their project from their home library. In either case, contact with ARL staff and a presence in the ARL offices is encouraged, as this has proved to be mutually beneficial for the VPO and for ARL.

Since the program's beginning in 1988, 21 member libraries have sponsored a VPO. Between May and September 1996, this included:

- *Brigham Young University*: Mark Grover, to serve as Project Coordinator for the ARL/AAU Latin American Demonstration Project.
- *Duke University*: Deborah Jakubs, to develop the AAU/ARL Global Resources Program as well as coordinate the work of the three ongoing pilot projects, on Latin America, Japan, and Germany.
- *University of Virginia*: Kendon Stubbs, to develop a manual and design a workshop on how libraries could measure user satisfaction and quality service, with Martha Kyrillidou.
- *University of Washington*: Timothy Jewell, to assess ARL data on the character and nature of research library expenditures for electronic resources, with Martha Kyrillidou.
- *York University*: Toni Olshen, who developed for ARL recommendations for an organizational and programmatic response to diversity in Canadian libraries and universities.

VPO Opportunities for 1996+

In collaboration with Martha Kyrillidou and the Statistics and Measurements Committee, Danuta Nitecki (now AUL for Public Services at Yale University) developed a proposal for the Council on Library Resources to fund a project with ARL to explore the applicability of the SERVQUAL instrument as a reliable diagnostic tool to measure customer criteria for service quality. If funded, Dr. Nitecki will undertake the project as a Visiting Program Officer.

Issues where VPO contributions would be particularly welcome in 1996-97 include:

- workshops on analytical, management, and electronic publishing of data sets (see Martha Kyrillidou);
- a clearinghouse of research available or underway about the cost of research library operations (see Jaia Barrett);
- assessment of guidelines on the fair use of digital images in educational settings (see Mary Jackson);
- development of a self study to assess library security procedures (see Duane Webster);
- development of a program to address technology training skills for librarians (see Duane Webster); and
- participation in the design and development of a clearinghouse of information on collaborative e-publishing projects (see Mary Case).

Directors who wish to propose staff as Visiting Program Officers or discuss other topics for VPO projects may contact G. Jaia Barrett, Director, Office of Research and Development.

APPENDIX IV

ARL ATTENDANCE LIST
October 1996

Member Institution	Represented by
University of Alabama	Charles Osburn
University of Alberta	Ernie Ingles
University of Arizona	Carla Stoffle
Arizona State University	Sherrie Schmidt
Auburn University	Bobby Holloway
Boston Public Library	Liam Kelly
Boston University	[not represented]
Brigham Young University	[not represented]
University of British Columbia	Ruth Patrick
Brown University Library	Merrily Taylor
University of California-Berkeley	Susan Rosenblatt
University of California-Davis	Marilyn Sharrow
University of California-Irvine	Joanne Euster
University of California-Los Angeles	Gloria Werner
University of California-Riverside	[not represented]
University of California-San Diego	Gerald Lowell
University of California-Santa Barbara	Joseph Boissé
Canada Institute for Scientific & Tech Info	Bernard Dumouchel
Case Western Reserve University	Ray Metz
Center for Research Libraries	Donald Simpson
University of Chicago	Martin Runkle
University of Cincinnati	David Kohl
University of Colorado, Boulder	James Williams, II
Colorado State University	Joan Chambers
Columbia University	Elaine Sloan
University of Connecticut	Paul Kobulnicky
Cornell University	Sarah Thomas
Dartmouth College	Margaret Otto
University of Delaware	Susan Brynteson
Duke University	David Ferriero
Emory University	Joan Gotwals
University of Florida	Dale Canelas
Florida State University	Charles Miller
Georgetown University	Susan Martin
University of Georgia	William Potter
Georgia Institute of Technology	Miriam Drake
University of Guelph	Michael Ridley
Harvard University	Nancy Cline
University of Hawaii at Manoa	John Haak
University of Houston	Robin Downes
Howard University	Mod Mekkawi
University of Illinois at Chicago	Sharon Hogan
University of Illinois-Urbana	Frances O'Brien

Member Institution	Represented by
Indiana University	Suzanne Thorin
University of Iowa	[not represented]
Iowa State University	Nancy Eaton
Johns Hopkins University	James Neal
University of Kansas	William Crowe
Kent State University	Don Tolliver
University of Kentucky	Paul Willis
Laval University	Claude Bonnelly
Library of Congress	Winston Tabb
Linda Hall Library	Lee Jones
Louisiana State University	Jennifer Cargill
McGill University	Frances Groen
McMaster University	Graham Hill
University of Manitoba	Carolynne Presser
University of Maryland	Charles Lowry
University of Massachusetts	Gordon Fretwell
Massachusetts Institute of Technology	Ann Wolpert
University of Miami	Frank Rodgers
University of Michigan	[not represented]
Michigan State University	Carole Armstrong
University of Minnesota	Tom Shaughnessy
University of Missouri	Martha Alexander
National Agricultural Library	Pamela André
National Library of Canada	Marianne Scott
National Library of Medicine	[not represented]
University of Nebraska-Lincoln	Joan Giesecke
University of New Mexico	[not represented]
New York Public Library	William Walker
New York State Library	GladysAnn Wells
New York University	Carlton Rochell
University of North Carolina	Joe Hewitt
North Carolina State University	Susan Nutter
Northwestern University	David Bishop
University of Notre Dame	Robert Miller
Ohio University	Hwa-Wei Lee
Ohio State University	William Studer
University of Oklahoma	Sul Lee
Oklahoma State University	Edward Johnson
University of Oregon	George Shipman
University of Pennsylvania	Paul Mosher
Pennsylvania State University	Gloriana St. Clair
University of Pittsburgh	Rush Miller
Princeton University	Karin Trainer
Purdue University	Emily Mobley
Queen's University	Paul Wiens
Rice University	[not represented]
University of Rochester	Ronald Dow
Rutgers University	Marianne Gaunt
University of Saskatchewan	Frank Winter
Smithsonian Institution	Barbara Smith
University of South Carolina	George Terry
University of Southern California	Jerry Campbell

Member Institution	Represented by
Southern Illinois University	Carolyn Snyder
Stanford University	[not represented]
State University of New York-Albany	Meredith Butler
State University of New York-Buffalo	Barbara von Wahlde
State University of New York-Stony Brook	Joseph Branin
Syracuse University	David Stam
Temple University	John Zenelis
University of Tennessee	Paula Kaufman
University of Texas at Austin	Harold Billings
Texas A&M University	Fred Heath
University of Toronto	Carole Moore
Tulane University	Philip Leinbach
University of Utah	Sarah Michalak
Vanderbilt University	Paul Gherman
University of Virginia	Karin Wittenborg
Virginia Tech University	Eileen Hitchingham
University of Washington	Betty Bengtson
Washington State University	Nancy Baker
Washington University-St. Louis	Shirley Baker
University of Waterloo	Murray Shepherd
Wayne State University	Patricia Breivik
University of Western Ontario	[not represented]
University of Wisconsin-Madison	Ken Frazier
Yale University	Scott Bennett
York University	Ellen Hoffmann

Guests	
University of Arizona	Martha Gilliland
American Council of Learned Societies	Douglas Bennett
American Library Association	Barbara Ford
The Andrew W. Mellon Foundation	Richard Ekman
Association of American Universities	Cornelius Pings
Association of American Universities	John Vaughn
Association of Univ. & Colleges of Canada	Sally Brown
Brown University	Ettore Infante
University of Connecticut	Mark Emmert
Council on Library Resources	Martin Cummings
Council on Library Resources/CPA	Deanna Marcum
University College London/SCONUL	Fred Friend
University of Georgia	William Prokasy
Government Printing Office	Wayne Kelley
Harvard University	Jan Merrill-Oldham
JSTOR Project	Kevin Guthrie
Library of Congress	Diane Kresh
Modern Language Association	Phyllis Franklin
National Association of State Univ. and Land-Grant Colleges	C. Peter Magrath
NASULGC/Kellogg Commission	Michael Vahle
National Endowment for the Humanities	George Farr
National Humanities Alliance	John Hammer

Guests

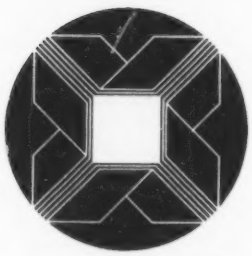
NINCH	David Green
OCLC, Inc.	Dorothy Gregor
OCLC, Inc.	Wayne Smith
University of Pennsylvania	Stanley Chodorow
University of Pennsylvania	Gregory Wegner
Research Libraries Group	James Michalko
University of Virginia	Kendon Stubbs
University of Washington/ARL VPO	Timothy Jewell
York University	Toni Olshen

ARL Staff

Adler, Prudence	Assistant Executive Director-Federal Relations and Info. Policy
Barrett, Jaia	Deputy Executive Director, and Dir. of Research & Development
Brennan, Patricia	Information Services Coordinator
Brooks, Mary Jane	Office Manager
Case, Mary	Director, Office of Scholarly Communication
Deiss, Kathryn	OMS Program Officer for Training
Jackson, Mary	Access and Delivery Services Consultant
Jakubs, Deborah	Duke University/ARL Visiting Program Officer
Jones, DeEtta	Diversity Program Officer [effective 12/96]
Kyrillidou, Martha	Senior Program Officer for Statistics and Measurement
Mogge, Dru	Electronic Information Services Coordinator
Rounds, Laura	OMS Program Officer for Information Services
Sullivan, Maureen	OMS Organizational Development Consultant
Webster, Duane	Executive Director

CNI Staff

Cheverie, Joan	CNI/Visiting Program Officer
Cruz, Angelo	Assistant Systems Coordinator
Eudell, Jacqueline	Officer Manager
Fisch, Louise	Communications Coordinator
Lippincott, Joan	Assistant Executive Director
Peters, Paul	Executive Director



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